**STANDARD PROCUREMENT DOCUMENT**

**Trial Edition**

**Request for Proposals**

**Works**

**Underground Works**

**(Two-Stage Request for Proposals, after Initial Selection)**

**For Projects with Project Concept Notes (PCN)**

**Decision Notes**

**dated after October 1, 2018**

**AND**

(where the Bank’s Disqualification mechanism for non-compliance with SEA/SH obligations applies)



**April 2022**

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**Preface**

This Standard Procurement Document (SPD) Request for Proposals (RFPs) for *Underground Works* has been prepared by the World Bank (Bank). *Underground Works* as defined in the FIDIC “Emerald book”, and applied in this SPD, means all Works located beneath the natural or man-made surface of the earth, including ancillary surface works.

This SPD incorporates provisions to reflect, as appropriate, the Bank’s Environmental and Social Framework (2017). This SPD also incorporates provisions on disqualification of contractors, and their proposed subcontractor/s as applicable, from being awarded Bank financed contracts for noncompliance with SEA/SH obligations. These provisions apply in the case of procurement of Works for contracts under Projects assessed as high risk for Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment (SH).

This SPD shall be used for international competitive procurement, after Initial Selection, for a Two stage Request for Proposals (RFP) selection method*.* If as result of the Project Procurement Strategy for Development (PPSD), a single-stage process would be more appropriate, then the corresponding SPD for a single-stage process should be applied. Both SPDs assume that an initial selection has been carried out, which should normally be the case for an RFP selection method. If the PPSD for justified reasons (in specific circumstances) has not identified the need for initial selection, then the relevant provisions of these SPDs should be modified accordingly.

This SPD applies to the procurement of *Underground Works* funded by IBRD or IDA financed projects whose Legal Agreement makes reference to the *Procurement Regulations for IPF Borrowers*, and where the Project Procurement Strategy for Development (PPSD) has assessed and recommended to apply this approach for the procuremnt of *Underground Works*, as opposed to application of other SPDs such as for Design and Build.

The Conditions of Contract are the “General Conditions” which form part of the “Conditions of Contract for Underground Works (“Emerald book” First edition 2019” published by the Federation Internationale Des Ingenieurs – Conseils (FIDIC) and the “Particular Conditions” to be used by Borrowers when applying these “General Conditions”.

An original copy of the FIDIC publication i.e. “Conditions of Contract for Underground Works” (Emerald book) must be obtained from FIDIC.

The Conditions of Contract for *Underground Works* includes provisions to address the risks related to subsurface physical conditions which are not possible to assess in advance of the contract with adequate precision, and therefore cannot be assigned entirely to the contractor. The following are some the features of this contractual approach. For more information, including on preparation of the GBR and contents recommendation, refer to the relevant notes included in the Emerald book.

* **Geotechnical Baseline Report (GBR)**: The GBR is very relevant to the successful operation of this contracting approach for *Underground Works*. It should be prepared by the Employer, supported as appropriate with professionals well experienced in the field, and attached to the RFP document. The GBR, as the contractual document, and referenced to in the contract, describes the anticipated subsurface conditions to be encountered in the execution of the works, allocates the subsurface conditions risks between the Employer and the Contractor.
* **Geotechnical Data Report**: The Employer shall also make available to proposers the Geotechnical Data Report which includes the relevant geological, hydrogeological, hydrology and geotechnical data.
* **Schedule of Baselines**: sets out the Excavation and Lining Works activities and corresponding quantities based on the subsurface physical conditions described in the GBR, and the corresponding production rates to be provided by the proposer, based upon, but not limited to, its own estimation of its production rates. As the subsurface physical conditions are within the risk zone of the Employer and the production rates are within the risk zone of the Contractor, the time available to the contractor for the Underground Excavation and Lining Works are measured and adjusted against the difference between the expected subsurface physical conditions (described in the GBR and quantified in the Schedule of Baselines) and the subsurface physical conditions actually encountered.
* **Bill of Quantities (BoQ)**: Excavation and Lining Works are to be measured and paid for using rates and prices set out in the Bill of Quantities against the Employer’s estimated quantities. Given that normally a major portion of the costs incurred by the Contractor is time-related (such as overheads, depreciation and maintenance of equipment ) rather than quantities-related, , the BoQ should distinguish between time-related items, quantity-related items and fixed- rate items for the execution of the Works. All other works ( e.g., ancillary surface works) are to be paid on a lump sum basis.

The Employer should carry-out appropriate actions prior to issuing the RFP, including, but not limited to:

appropriate risk assessment, including on ES risks and impacts, and risk mitigation plan ( see Environmental and Social (ES) requirements in Section VII);

Site Investigations ( GC Sub-Clause 2.5) to provide a sufficient range of information commensurate with the size, nature and complexities of the contract;

permission for and physical access to the Site as well as availability of the working areas on-and off-Site should be investigated prior to issuance of the RFP, in a manner that it will not be a constraint once the contract is signed;

 preparation of Employer’s Reference Design ( GC Sub-Clauses 1.1.39, 4.10 and 5.1), cover the Permananent Works and the excavation and support procedure for the Underground Excavation and Lining Works, that is compatible with the Employer’s Requirements, the Employer’s preferred assessment of acceptable physical risks, and be be based on and consistent with the conclusions of the preliminary investigations in the GDR, be consistent with the GBR and the various relevant Schedules; and

Exploring and securing suitable treatment and diposal facilities of materials from the *Underground Works* should be explored and secured.

To obtain further information on procurement under World Bank funded projects or for question regarding the use of this SPD, contact:

Chief Procurement Officer

Standards, Procurement and Financial Management Department

The World Bank

1818 H Street, NW

Washington, D.C. 20433 U.S.A.

<http://www.worldbank.org>

Standard Procurement Document

**Summary**

**Specific Procurement Notice**

**Specific Procurement Notice - Request for Proposal (RFP) to Initially Selected Proposers**

This SPD covers a two stage process following the Initial Selection of Proposers. The Instructions to Proposers (ITPs) describe the provisions that apply to both stages. The stages are:

Stage 1: Request for First Stage Proposals (Technical) (single envelope);

Stage 2: Request for Second Stage Proposals (Technical and Financial) (two envelope).

**PART 1 – REQUEST FOR PROPOSAL PROCEDURES**

**Section I - Instructions to Proposers (ITP)**

 This Section provides relevant information to help Proposers prepare their Proposals. It is based on a two stage procurement process. Information is also provided on the submission, opening, and evaluation of Proposals and on the award of Contracts. **Section I contains provisions that are to be used without modification.**

**Section II - Proposal Data Sheet (PDS)**

 This Section consists of provisions that are specific to each procurement and that supplement the information or requirements included in Section I, Instructions to Proposers.

**Section III - Evaluation and Qualification Criteria**

This Section specifies the methodology that will be used to determine the Most Advantageous Proposal.

**Section IV - Proposal Forms**

 This Section contains the forms which are to be completed by the Proposer and submitted as part of the Proposal.

**Section V - Eligible Countries**

 This Section contains information regarding eligible countries.

**Section VI - Fraud and Corruption**

This section includes the Fraud and Corruption provisions which apply to this Request for Proposal process.

**PART 2 – EMPLOYER’S REQUIREMENTS**

**Section VII - Employer’s Requirements**

This section set out a description of the functional and/or performance specification of the works to be designed and constructed. It shall present, as appropriate, a statement of the required standards for materials, plant, supplies, and workmanship to be provided.

The Employer’s Requirements also include the environmental and social (ES) requirements (including requirements related to Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH)) which are to be satisfied by the contractor in designing and executing the works.

**PART 3 – CONDITIONS OF CONTRACT AND CONTRACT FORMS**

**Section VIII - General Conditions (GC)**

This Section refers to the “General Conditions” which form part of the “Conditions of Contract for Underground Works (“Emerald book” First edition 2019” published by the Federation Internationale Des Ingenieurs – Conseils (FIDIC).

**Section IX - Particular Conditions (PC)**

 This Section includes particular conditions of the contract consisting of: Part A- Contract Data; Part B -Special Provisions, PART C – Fraud and Corruption; and PART D – Environmental and Social (ES) Reporting Metrics for Progress Reports. The contents of this Section supplement the General Conditions and shall be completed by the Employer.

**Section X - Contract Forms**

 This Section contains the Letter of Acceptance, Contract Agreement and other relevant forms.

**Notice of Request for Proposals**

**Stage 1 Template**

**Request for First Stage Proposals**

**Works**

**(Underground Works)**

**(After Initial Selection)**

**Employer:** *[insert the name of the Employer’s agency]*

**Project:***[insert name of project]*

**Contract title:** *[insert the name of the contract]*

**Country:** *[insert country where RFP is issued]*

**Loan No. /Credit No. / Grant No.:** *[insert reference number for loan/credit/grant]*

**RFP No:** *[insert RFP reference number from Procurement Plan]*

**Issued on:** *[insert date when RFP is issued to the market]*

To: *[Proposer’s name and address]*

1. 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 toward payments under the contract [[1]](#footnote-2)for *[insert title of contract]*[[2]](#footnote-3). *[Insert if applicable: “*For this contract, the Borrower shall process the payments using the Direct Payment disbursement method, as defined in the World Bank’s Disbursement Guidelines for Investment Project Financing.”]
2. The *[insert name of implementing agency]* now invites sealed Proposals from the following initially selected eligible Applicants for *[insert brief description of the Underground Works]*[[3]](#footnote-4).

*[Insert names of initially selected Applicants]*

1. The procurement will be conducted through international competitive procurement using Request for Proposals (RFP) as specified in the World Bank’s “[Procurement](http://www.worldbank.org/html/opr/procure/guidelin.html) Regulations for IPF Borrowers” *[insert date of applicable Procurement Regulations edition as per legal agreement]* (“Procurement Regulations”), and is open to all initially selected eligible Proposers.
2. Initially selected eligible Proposers may obtain further information from *[insert name of implementing agency, insert name and e-mail of officer in charge]* and inspect the RFP Document during office hours *[insert office hours if applicable i.e. 0900 to 1700 hours]* at the address given below *[state address at the end of this RFP]* [[4]](#footnote-5).
3. The RFP Document in *[insert name of language]* may be purchased by initially selected eligible Proposers upon the submission of a written application to the address below and upon payment of a nonrefundable fee[[5]](#footnote-6) of *[insert amount in Borrower’s currency or in a convertible currency]*. The method of payment will be *[insert method of payment].*[[6]](#footnote-7) The document will be sent by *[insert delivery procedure].*[[7]](#footnote-8)
4. A two-stage RFP process will be used which will proceed as follows:

(a) The First Stage process will consist of submission of a Technical Proposal, without any reference to prices. Following the evaluation of First Stage Proposals, a Proposer that has submitted a sufficiently responsive Technical Proposal may be invited to attend a clarification meeting(s), during which the Proposer’s Proposal will be reviewed. Any required Proposal-specific changes, additions, deletions and other adjustments will be noted and recorded in a memorandum, or, if amendments are of a general nature, will be promulgated via an addendum to the RFP Documents. Following the clarification meetings, Proposers may not be invited to submit Second Stage Proposals, if their First Stage proposals contain departures from the requirements to the extent that it cannot be expected to be responsive through the second stage RFP process. All other suitably qualified and eligible Proposers shall receive invitations to submit Second Stage Proposals.

(b) The Second Stage process will consist of submission and evaluation of: (i), the updated technical part incorporating all changes required as recorded in the proposer-specific memorandum, and/or as necessary to reflect any Addenda to the RFP documents issued subsequent to the first stage; and (ii), the financial part.

1. First Stage Proposals must be delivered to the address below *[state address at the end of this RFP]*[[8]](#footnote-9) on or before *[insert time and date].* Electronic Procurement will *[will not]* be permitted. Late Proposals will be rejected. Proposals will be publicly opened in the presence of the Proposers’ designated representatives and anyone who chooses to attend at the address below *[state address at the end of this RFP]* on *[insert time and date]*.
2. [*Insert* *this paragraph if applicable in accordance with the Procurement Plan*: “Attention is drawn to the Procurement Regulations requiring the Borrower to disclose information on the successful Proposer’s beneficial ownership, as part of the Contract Award Notice, using the Beneficial Ownership Disclosure Form as included in the RFP document.”]
3. Please confirm receipt of this letter immediately in writing by electronic mail or fax. If you do not intend to submit proposal, we would appreciate being so notified in writing at your earliest opportunity.
4. The address (es) referred to above is (are): *[insert detailed address (es)]*

*[Insert name of office]*

*[Insert name of officer and title]*

*[Insert postal address and/or street address, postal code, city and country]*

*[Insert telephone number, country and city codes]*

*[Insert facsimile number, country and city codes]*

*[Insert email address]*

*[Insert web site address]*

**Notice of Request for Proposals**

**Stage 2 Template**

**Request for Second Stage Proposals**

**Works**

**(Underground Works)**

**Employer:** *[insert the name of the Employer’s agency]*

**Project:***[insert name of project]*

**Contract title:** *[insert the name of the contract]*

**Country:** *[insert country where RFP is issued]*

**Loan No. /Credit No. / Grant No.:** *[insert reference number for loan/credit/grant]*

**RFP No:** *[insert RFP reference number from Procurement Plan]*

**Issued on:** *[insert date when RFP is issued to the market]*

To: *[Proposer’s name and address]*

Dear Ladies and/or Gentlemen,

1. We hereby inform you that you are invited to submit a sealed Second Stage Proposal for the execution and completion of the Contract cited above for which you submitted a First Stage Proposal on *[insert:* ***date of submission of First Stage Proposal****]*, that was reviewed *[if applicable, add* ***“and discussed during the clarification meeting(s) held on*** *{insert:* ***date(s****)}****”****]* and has been found sufficiently technically responsive to the requirements of the first stage.
2. Your Second Stage Proposal should include an updated technical Proposal *[if appropriate, replace by or add:* ***“and/or accepted and updated alternative technical Proposal(s)”****]* reflecting (a), any addenda to the RFP Documents issued to all Proposers invited to the second stage together with the invitation or subsequently, as well as (b), the memorandum, if any, specific to your Proposal and titled “Changes Required Pursuant to First Stage Evaluation.” Addendum and/or memorandum, if applicable, are listed at the end of, and are included with, this invitation. The Second Stage Proposal should also include the Financial Parts such as, Proposal price, price schedules, Proposal security, etc., as detailed in the RFP Documents. The technical and financial parts of the Second Stage proposals shall be submitted in two separate envelopes
3. The Proposal shall be submitted no later than *[insert:* ***time, date and address for Second Stage Proposal submission****]*[[9]](#footnote-10). Electronic Procurement will *[will not]* be permitted. Late Proposals will be rejected. The Technical Part will be publicly opened in the presence of the Proposers’ designated representatives and anyone who chooses to attend at the address below *[state address at the end of this RFP]* on *[insert time and date]*.
4. The financial part shall be opened in public unless Best and Final Offer (BAFO) or negotiations apply in which case the Financial Parts will not be opened in public and will be opened in the presence of a Probity Assurance Provider appointed by the Employer.
5. The Proposal shall be valid, until *[insert date]* or any extended date if amended by the Employer in accordance with the RFP. ***[insert day, month and year, taking into account reasonable time needed to complete the proposal evaluation, obtain necessary approvals and the Bank’s No-objection (if subject to prior review).] [To minimize errors by proposers, the proposal validity period is a specific date and not linked to the deadline for submission of proposals.].***
6. All Proposals must be accompanied by a *[insert “Proposal Security” or “Proposal-Securing Declaration,” as appropriate]* of *[insert amount and currency in case of a Proposal Security[[10]](#footnote-11).]*
7. All Proposals must be accompanied by a Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment (SH) Declaration.
8. Please confirm receipt of this letter immediately in writing by electronic mail or fax. If you do not intend to submit proposal, we would appreciate being so notified in writing at your earliest opportunity.

Yours truly,

*[Authorized* ***signature****]*

*[Insert:* ***name and title****]*

*[Insert:* ***Employer’s name****]*

ENCLOSURE(S): *[if appropriate, insert:*

1. ***Addendum No. [insert: number of the addendum] to the RFP documents***

*and/or*

1. ***Memorandum for* *[name of Proposer as taken from the top of this invitation] of Changes Required Pursuant to First Stage Evaluation***

*or state:* ***There are no enclosures***

**Request for Proposals**

**Works**

**Underground Works**

**(Two-Stage RFP after Initial Selection)**

**Procurement of:**

***[****Insert identification of the Works]* **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Employer:** *[insert the name of the Employer’s agency]*

**Project:***[insert name of project]*

**Contract title:** *[insert the name of the contract]*

**Country:** *[insert country where RFP is issued]*

**Loan No. /Credit No. / Grant No.:** *[insert reference number for loan/ credit/ grant]*

**RFP No:** *[insert RFP reference number from Procurement Plan]*

**Issued on:** *[insert date when RFP is issued to the market]*

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PART 1 – Request for Proposal Procedures

Section I - Instructions to Proposers (ITP)

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**Section I - Instructions to Proposers**

 A. General

|  |  |
| --- | --- |
| 1. Scope of Proposal
 | * 1. The Employer, as specified in the PDS, issues this Request for Proposals (RFP) Document for the Underground Works as specified in Section VII, Employer’s Requirements. The name, identification and number of lots (contracts) of this RFP are specified **in the PDS.**
	2. Unless otherwise stated, throughout this RFP Document definitions and interpretations shall be as prescribed in the Section VIII, General Conditions.
	3. Throughout this RFP Document:
		1. the term **“in writing”** means communicated in written form (e.g. by mail, e-mail, fax, including if specified **in the PDS**, distributed or received through the electronic-procurement system used by the Employer) with proof of receipt;
		2. if the context so requires, **“singular”** means **“plural”** and vice versa;
		3. **“Day”** means calendar day, unless otherwise specified as **“Business Day”.** A Business Day is any day that is an official working day of the Borrower. It excludes the Borrower’s official public holidays;
		4. **“Works”** refers to all works (Permananent and/or Temporary Works, as defined in the Contract), subject of this request for proposals document;
		5. **“Underground Works”** means all Works located beneath the natural or man-made surface of the earth, including ancillary surface Works i.e. surface facilities and Works inherent and necessary to the Underground Works
		6. “**ES”** means environmental and social (including Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH));
		7. **“Sexual Exploitation and Abuse” “(SEA)”** means the following:

**Sexual Exploitation** is defined as any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. **Sexual Abuse** is defined as the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions; * + 1. **“Sexual Harassment” “(SH)”** is defined as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature by the Contractor’s Personnel with other Contractor’s or Employer’s Personnel;
		2. **“Contractor’s Personnel”** is as defined in Sub-Clause 1.1.22 of the General Conditions; and
		3. **“Employer’s Personnel”** is as defined in Sub-Clause 1.1.38 of the General Conditions.
		4. **“Excavation”** is as defined in Sub-Clause 1.1.43 of the General Conditions;
		5. **“Lining”** is as defined in Sub-Clause 1.1.60 of the General Conditions;
		6. **“Geotechnical Baseline Report”** or **“GBR”)** is as defined in Sub-Clause 1.1.51 of the General Conditions and included in Section VII- Employer’s Requirements;
		7. **“Geotechnical Data Report”** or **“GDR”)** is as defined in Sub-Clause 1.1.52 of the General Conditions, and included in Section VII- Employer’s Requirements;
		8. **“Completion Schedule”** is as defined in Sub-Clause 1.1.8 of the General Conditions, to be submitted by the Proposer in accordance with Section IV- Proposal Forms;
		9. **“Schedule of Baselines”** is as defined in Sub-Clause 1.1.84 of the General Conditions, to be completed and submitted by the Proposer in accordance with Section IV- Proposal Forms;
		10. **“Schedule of Rates and Prices”** is as defined in Sub-Clause 1.1.88 of the General Conditions; and
		11. **“Bill of Quantities”** is as defined in Sub-Clause 1.1.5 of the General Conditions.

A non-exhaustive list of (i) behaviors which constitute SEA and (ii) behaviors which constitute SH is attached to the Code of Conduct form in Section IV. |
| 1. Source of Funds
 | * 1. The Borrower or Recipient (hereinafter called “Borrower”) indicated **in the PDS** has applied for or received financing (hereinafter called “funds”) from the International Bank for Reconstruction and Development or the International Development Association (hereinafter called “the Bank”) in an amount specified **in the PDS** toward the project named **in the PDS**. The Borrower intends to apply a portion of the funds to eligible payments under the contract(s) for which this RFP Document is issued.
	2. Payments by the Bank will be made only at the request of the Borrower and upon approval by the Bank in accordance with the terms and conditions of the Loan (or other financing) Agreement between the Borrower and the Bank (hereinafter called the Loan Agreement), and will be subject in all respects to the terms and conditions of that Loan (or other financing) Agreement. The Loan (or other financing) Agreement prohibits a withdrawal from the loan account for the purpose of any payment to persons or entities, or for any import of equipment, materials or any other goods, if such payment or import is prohibited by a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations. No party other than the Borrower shall derive any rights from the Loan (or other financing) Agreement or have any claim to the proceeds of the Loan (or other financing).
 |
| 1. Fraud and Corruption
 | * 1. The Bank requires compliance with the Bank’s Anti-Corruption Guidelines and its prevailing sanctions policies and procedures as set forth in the WBG’s Sanctions Framework, as set forth in Section VI.
	2. In further pursuance of this policy, Proposers shall permit and shall cause their agents (where declared or not), subcontractors, sub-consultants, service providers, suppliers, and personnel, to permit the Bank to inspect all accounts, records and other documents relating to any initial selection process, prequalification process, bid submission, proposal submission and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.
 |
| 1. Eligible Proposers
 | * 1. A Proposer may be a firm that is a private entity, a state-owned enterprise or institution subject to **ITP 4.6**—or any combination of such entities in the form of a joint venture (JV) under an existing agreement or with the intent to enter into such an agreement supported by a letter of intent. In the case of a joint venture, all members shall be jointly and severally liable for the execution of the Contract in accordance with the Contract terms. The JV shall nominate a Representative who shall have the authority to conduct all business for and on behalf of any and all the members of the JV during the RFP process and, in the event the JV is awarded the Contract, during contract execution. Unless specified **in the PDS**, there is no limit on the number of members in a JV.
	2. A Proposer shall not have a conflict of interest. Any Proposer found to have a conflict of interest shall be disqualified. A Proposer may be considered to have a conflict of interest for the purpose of this RFP process, if the Proposer:
		1. directly or indirectly controls, is controlled by or is under common control with another Proposer; or
		2. receives or has received any direct or indirect subsidy from another Proposer; or
		3. has the same legal representative as another Proposer; or
		4. has a relationship with another Proposer, directly or through common third parties, that puts it in a position to influence the Proposal of another Proposer, or influence the decisions of the Employer regarding this RFP process; or
		5. any of its affiliates participates as a consultant in the preparation of the Employer’s Requirements for the Works that are the subject of the Proposal; or
		6. or any of its affiliates has been hired (or is proposed to be hired) by the Employer or Borrower as the Engineer for the Contract implementation; or
		7. would be providing goods, works, or non-consulting services resulting from or directly related to consulting services for the preparation or implementation of the project specified in the **PDS ITP 2.1** that it provided or were provided by any affiliate that directly or indirectly controls, is controlled by, or is under common control with that firm; or
		8. has a close business or family relationship with a professional staff of the Borrower (or of the project implementing agency, or of a recipient of a part of the loan) who: (i) are directly or indirectly involved in the preparation of the RFP Document or specifications of the Contract, and/or the Proposal evaluation process of such Contract; or (ii) would be involved in the implementation or supervision of such Contract unless the conflict stemming from such relationship has been resolved in a manner acceptable to the Bank throughout the RFP process and execution of the Contract.
	3. A firm that is a Proposer (either individually or as a JV member) shall not participate in more than one Proposal, except for permitted alternative Proposals. This includes participation as a subcontractor in other Proposals. Such participation shall result in the disqualification of all Proposals in which the firm is involved. A firm that is not an individual Proposer or a JV member in a Proposal may participate as a subcontractor in more than one Proposal.
	4. A Proposer may have the nationality of any country, subject to the restrictions pursuant to **ITP 4.8.** A Proposer shall be deemed to have the nationality of a country if the Proposer is constituted, incorporated or registered in and operates in conformity with the provisions of the laws of that country, as evidenced by its articles of incorporation (or equivalent documents of constitution or association) and its registration documents, as the case may be. This criterion also shall apply to the determination of the nationality of proposed sub-contractors or sub-consultants for any part of the Contract including related Services.
	5. A Proposer that has been sanctioned by the Bank, pursuant to the Bank’s Anti-Corruption Guidelines, and in accordance with its prevailing sanctions policies and procedures as set forth in the WBG’s Sanctions Framework as described in Section VI paragraph 2.2 d., shall be ineligible to be initially selected for, prequalified for, bid for, submit proposal for, or be awarded a Bank-financed contract or benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank shall have determined. The list of debarred firms and individuals is available at the electronic address specified in the **PDS**.
	6. Proposers that are state-owned enterprises or institutions in the Employer’s Country may be eligible to compete and be awarded a Contract(s) only if they can establish, in a manner acceptable to the Bank, that they (i) are legally and financially autonomous (ii) operate under commercial law, and (iii) are not under supervision of the Employer.
	7. A Proposer shall not be under suspension from submitting proposals by the Employer as the result of the operation of a Bid Securing Declaration or Proposal-Securing Declaration.
	8. Firms and individuals may be ineligible if so indicated in Section V and (a) as a matter of law or official regulations, the Borrower’s country prohibits commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the supply of goods or the contracting of works or services required; or (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower’s country prohibits any import of goods or contracting of works or services from that country, or any payments to any country, person, or entity in that country. When the procurement is implemented across jurisdictional boundaries (and more than one country is a Borrower, and is involved in the procurement), then exclusion of a firm or individual on the basis of **ITP 4.8 (a)** above by one country may be applied to that procurement across other countries involved, if the Bank and the Borrowers involved in the procurement agree.
	9. A Proposer shall provide such documentary evidence of eligibility satisfactory to the Employer, as the Employer shall reasonably request.
	10. A firm that is under a sanction of debarment by the Borrower from being awarded a contract is eligible to participate in this procurement, unless the Bank, at the Borrower’s request, is satisfied that the debarment; (a) relates to fraud or corruption, and (b) followed a judicial or administrative proceeding that afforded the firm adequate due process.
 |
| 1. Eligible Materials, Equipment, and Services
 | * 1. The materials, equipment and services to be supplied under the Contract may have their origin in any country subject to the restrictions specified in Section V, Eligible Countries, and all expenditures under the Contract will not contravene such restrictions. At the Employer’s request, Proposers may be required to provide evidence of the origin of materials, equipment and services.
 |

B. Contents of RFP Document

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| 1. Sections of RFP Document
 | * 1. The RFP Document consists of Parts 1, 2, and 3, which include all the sections indicated below, and should be read in conjunction with any Addenda issued in accordance with **ITP 8**:

**PART 1 Request for Proposal Procedures**Section I - Instructions to Proposers (ITP)Section II - Proposal Data Sheet (**PDS**)Section III - Evaluation and Qualification Criteria Section IV - Proposal FormsSection V - Eligible CountriesSection VI - Fraud and Corruption**PART 2 Employer’s Requirements**Section VII - Employer’s Requirements **PART 3 Conditions of Contract and Contract Forms**Section VIII - General Conditions Section IX - Particular Conditions Section X - Contract Forms* 1. The Specific Procurement Notice, Notice of Request for Proposals (RFP) issued by the Employer, is not part of this RFP Document.
	2. Unless obtained directly from the Employer, the Employer is not responsible for the completeness of the document, responses to requests for clarification, the Minutes of the pre-Proposal meeting (if any), or Addenda to the RFP Document in accordance with **ITP 8**. In case of any contradiction, documents obtained directly from the Employer shall prevail.
	3. The Proposer is expected to examine all instructions, forms, terms, and specifications in the RFP Document and to furnish with its Proposal all information or documentation as is required by the RFP Document.
 |
| 1. Clarification of RFP Document, Site Visit, Pre-Proposal Meeting
 | * 1. A Proposer requiring any clarification of the RFP Document shall contact the Employer in writing at the Employer’s address specified **in the PDS** or raise its enquiries during the pre-Proposal meeting if provided for in accordance with **ITP 7.4**. The Employer will respond to any request for clarification, provided that such request is received prior to the deadline for submission of Proposals within a period specified **in the PDS.** The Employer shall forward copies of its response to all Proposers who have acquired the RFP Document in accordance with **ITP 6.3**, including a description of the inquiry but without identifying its source. If so specified **in the PDS**, the Employer shall also promptly publish its response at the web page identified **in the PDS**. Should the Employer deem it necessary to amend the RFP Document as a result of a request for clarification, it shall do so following the procedure under **ITP 8** and **ITP 27.1**
	2. The Proposer is advised to visit and examine the Site of the Works and its surroundings and obtain for itself on its own responsibility all information that may be necessary for preparing the Proposal and entering into a contract. The costs of visiting the site shall be at the Proposer’s own expense.
	3. The Proposer and any of its personnel or agents will be granted permission by the Employer to enter upon its premises and lands for the purpose of such visit, but only upon the express condition that the Proposer, its personnel, and agents will release and indemnify the Employer and its personnel and agents from and against all liability in respect thereof, and will be responsible for death or personal injury, loss of or damage to property, and any other loss, damage, costs, and expenses incurred as a result of the inspection.
	4. The Proposer’s designated representative is invited to attend a pre-Proposal meeting and/or a site visit, if provided for **in the PDS**. The purpose of the meeting will be to clarify issues and to answer questions on any matter that may be raised at that stage. Nonattendance at the pre-Proposal meeting will not be a cause for disqualification of a Proposer.
	5. The Proposer is requested to submit any questions in writing, to reach the Employer not later than one week before the meeting.
	6. Minutes of the pre-Proposal meeting, including the text of the questions raised without identifying the source, and the responses given, together with any responses prepared after the meeting, will be transmitted promptly to all Proposers who have acquired the RFP Document in accordance with **ITP 6.3**. Any modification to the RFP Document that may become necessary as a result of the pre-Proposal meeting shall be made by the Employer exclusively through the issue of an Addendum pursuant to **ITP 8** and not through the minutes of the pre-Proposal meeting.
 |
| 1. Amendment of RFP Document
 | * 1. At any time prior to the deadline for submission of Proposals, the Employer may amend the RFP Document by issuing addenda.
	2. Any addendum issued shall be part of the RFP Document and shall be communicated in writing to all who have obtained the RFP Document from the Employer in accordance with **ITP 6.3.** The Employer shall also promptly publish the addendum on the Employer’s web page in accordance with **ITP 7.1.**
	3. To give prospective Proposers reasonable time in which to take an addendum into account in preparing their Proposals, the Employer may, at its discretion, extend the deadline for the submission of Proposals, pursuant to **ITP 19.2** and **ITP 36.2.**
 |
| 1. Cost of Proposals
 | * 1. The Proposer shall bear all costs associated with the preparation and submission of its Proposal, and the Employer will in no case be responsible or liable for those costs.
 |
| 1. Contacting the Employer
 | * 1. From the time of Proposal opening to the time of Contract award, if any Proposer wishes to contact the Employer on any matter related to the Proposal, it should do so in writing.
	2. If a Proposer tries to directly influence the Employer or otherwise interfere in the Proposal evaluation process and the Contract award decision, its Proposal may be rejected.
 |
| 1. Language of Proposals
 | * 1. Unless otherwise specified **in the PDS**, the Proposal prepared by the Proposer and all correspondence and documents related to the Proposal exchanged by the Proposer and the Employer shall be written in the English Language, or, **if the PDS** so provides, in either one of two languages specified there. Any printed literature furnished by the Proposer as part of its Proposal may be in a language not specified **in the PDS,** as long as such literature is accompanied by a translation of its pertinent passages into the language of the Proposal, in which case, for purposes of interpretation of the Proposal, the translation shall govern.
 |

C. Preparation of First Stage Technical Proposals

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| 1. Documents Comprising the Proposal
 | * 1. The First Stage technical proposal submitted by the Proposer shall comprise the following:
1. Letter of First Stage Proposal;
2. alternative technical proposals in accordance with **ITP 13**;
3. written confirmation authorizing the signatory of the Proposal to commit the Proposer, in accordance with **ITP 17.2;**
4. documentary evidence that the proposer continues to be eligible and qualified to perform the contract if its Proposal is accepted;
5. method statement, equipment, personnel, completion schedule, schedule of baselines and any other information as stiplulated in Section IV, Proposal Forms;
6. documentary evidence in accordance with **ITP 15** that the Works offered by the Proposer conform to the RFP Document;
7. Proposers shall give details of all departures in their First Stage Technical- Proposal with respect to the contractual terms and conditions and/or to the required technical features specified in the performance and/or functional requirements, that they would like the Employer to consider during the evaluation of First Stage Technical Proposals and any Clarification Meeting(s) with the Proposer, pursuant to **ITP 23** through **ITP 26**;
8. in the case of a technical proposal submitted by a JV, JV agreement, or letter of intent to enter into a JV including a draft agreement, indicating at least the parts of the Works to be executed by the respective partners;
9. list of subcontractors, in accordance with ITP 15.4; and
10. any other document required in the PDS.
 |
| 1. Alternative Technical Proposals
 | * 1. Proposers shall note that they are permitted to propose technical alternatives with their First Stage technical proposals in addition to or in lieu of the requirements specified in the RFP Documents, provided that they: (i) document that the proposed technical alternatives are to the benefit of the Employer, that they fulfill the principal objectives of the contract, and that they meet the basic performance and technical criteria specified in the RFP Documents, and (ii) provide all information to enable the Employer to evaluate the alternative Proposal and in particular any changes in the risk allocation, a schedule of Baselines and a Completion Schedule that are applicable to the alternative Proposal, details of the proposed alternatives for the preliminary design, proposed alternate methods of construction for excavation and support, relevant supporting Schedules, drawings, design calculations, technical specifications, and other relevant details.
	2. Any alternative technical proposal submitted by Proposers as part of their First Stage technical proposal will be the subject of clarification with the Proposer, pursuant to **ITP 26.**
 |
| 1. Documents Establishing the Qualification of the Proposer
 | * 1. In accordance with Section III, Evaluation and Qualification Criteria, to establish that the Proposer continues to meet the qualification criteria used at the time of Initial Selection, the Proposer shall provide updated information on any assessed aspect that changed from that time including on Sexual Exploitation and Abuse (SEA) / SH disqualification status.
	2. If a margin of preference applies in accordance with ITP 50.1, domestic Proposers, individually or in joint ventures, applying for eligibility for domestic preference shall supply all information required to satisfy the criteria for eligibility specified in accordance with ITP 50.1.
	3. Any change in the structure or formation of a Proposer after being initially selected and invited to submit First Stage Proposals (including, in the case of a JV, any change in the structure or formation of any member and any change in any Specialized Subcontractor) shall be subject to the written approval of the Employer prior to the deadline for submission of First Stage Proposals. Such approval shall be denied if (i) a Proposer proposes to associate with a disqualified Proposer or in case of a disqualified joint venture, any of its members; (ii) as a consequence of the change, the Proposer no longer substantially meets the qualification criteria set forth in the Initial Selection Documents; (iii) no longer continues to be in the list of Initially Selected Proposers as a result of the Employer’s re-evaluation of the Application in accordance with criteria specified in the Initial Selection Documents; or (iv) in the opinion of the Employer, the change may result in a substantial reduction in competition. Any such change should be submitted to the Employer not later than fourteen (14) days after the Notice of Request for Proposals for the First Stage.
 |
| 1. Documents Establishing Conformity of the Works
 | * 1. Pursuant to **ITP 12.1 (e),** the Proposer shall furnish, as part of its Proposal, documents establishing the conformity of the proposed Works to the RFP Documents.
	2. The documentary evidence of the conformity of the Works with the RFP documents may be in the form of literature, drawings and data, and shall include:
		+ - 1. the documents specified in Section IV (Proposal Forms) - Technical Proposal
				2. detailed description of the essential technical and functional/performance characteristics of the proposed Works, in response to the Employer’s Requirements
				3. adequate evidence demonstrating the substantial responsiveness of the Works to the Employer’s Requirements. Proposers shall note that standards for workmanship, materials and equipment designated by the Employer in the RFP Document are intended to be descriptive (establishing standards of quality and performance) only and not restrictive. The Proposer may substitute alternative standards, in its technical proposal, provided that it demonstrates to the Employer’s satisfaction that the substitutions are substantially equivalent or superior to the standards designated in the Performance / Functional requirements specified by the Employer.
	3. For their Second Stage Combined Technical and Financial Proposals, the invited Proposers are expected to offer the same technical proposal as in the First Stage, unless changes are explicitly permitted or required in the Proposer-specific memorandum entitled “Changes Required Pursuant to First Stage Evaluation” pursuant to **ITP 26.7,** or are implied or triggered by Addenda to the RFP Documents issued in the Second Stage. Proposers that deviate from their First Stage Technical Proposals without specific endorsement by their memorandum or without a reason clearly established by Addenda issued in the Second Stage, place their Proposal at risk of being rejected.
	4. The Proposer shall be responsible for ensuring that any proposed subcontractor complies with the requirements of **ITP 4**, and that any Works to be provided by the subcontractor comply with the requirements of **ITP 5** and **ITP 15.1.** TheProposer shall submit its Code of Conduct that meets the requirements setout in Section IV – Proposal Forms.
 |
| 1. First Stage Technical- Proposal Submission Form
 | * 1. The Proposer shall complete the Letter of First Stage Proposal furnished in the Proposal Forms (Section IV) in the manner and detail indicated in this section and submit this form with the Proposal.
 |
| 1. Format and Signing of First Stage Proposal
 | * 1. The Proposer shall prepare an original and the number of copies/sets of the Proposal **specified in the PDS**, clearly marking each one as: “First Stage Technical Proposal – Original,” “First Stage Technical Proposal – Copy No. 1,” “First Stage TECHNICAL PROPOSAL -- Copy No. 2,” etc., as appropriate. In the event of any discrepancy between the original and any copy, the original shall govern.
	2. The original and all copies of the Proposal shall be typed or written in indelible ink and shall be signed by a person or persons duly authorized to sign on behalf of the Proposer. The authorization must be in writing **as specified in the PDS** and included in the Proposal pursuant to **ITP 12.1 (c).** The name and position held by each person signing the authorization must be typed or printed below the signature. All pages of the Proposal, where entries or amendments have been made shall be signed or initialed by the person or persons signing the Proposal.
	3. The Proposal shall contain no interlineations, erasures, or overwriting, except to correct errors made by the Proposer, in which case such corrections shall be initialed by the person or persons signing the Proposal.
	4. Signing and submission of a First Stage Technical Proposal shall not bind or obligate the Proposer to submit a Second Stage Combined Technical and Financial Proposal.
 |

D. Submission of First Stage Technical Proposals

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| 1. Sealing and Marking of First Stage Technical Proposal
 | * 1. The Proposer shall seal the original First Stage Technical Proposal and each copy of the Proposal in separate envelopes, each containing the documents specified in **ITP 12,** and shall mark the envelopes as “First Stage Technical Proposal – Original,” and “First Stage Technical Proposal – Copy No. [number],” all duly marked as required in **ITP 17.1.** The envelopes shall be sealed in an outer envelope.
	2. The inner and outer envelopes shall:
		1. bear the name and address of the Proposer;
		2. be addressed to the Employer, at the address given **in the PDS** for **ITP 19.1**; and
		3. bear the Contract(s) name, the Invitation for Proposals (RFP) title and number, as specified **in the PDS** for **ITP 1.1**, and the statement “First Stage Technical Proposal – Do Not Open Before [time and date],” to be completed with the time and date specified **in the PDS** for **ITP 19.1**.
	3. If the outer envelope is not sealed and marked as required by **ITP 18.1** and **ITP 18.2,** the Employer will assume no responsibility for the Proposal’s misplacement or premature opening.
 |
| 1. Deadline for Submission of First Stage Technical- Proposals
 | * 1. First Stage Technical Proposals must be received by the Employer at the address specified, and no later than the time and date specified, **in the PDS**. Proposers have the option of submitting their Proposals electronically if specified **in the PDS**.
	2. The Employer may, at its discretion, extend the deadline for submission of Proposals by amending the RFP Documents in accordance with **ITP 8.3**, in which case all rights and obligations of the Employer and Proposers will thereafter be subject to the deadline as extended.
 |
| 1. Late Proposals
 | * 1. The Employer shall not consider any Proposal that arrives after the deadline for submission of Proposals, in accordance with **ITP 19.** Any Proposal received by the Employer after the deadline for submission of Proposals shall be declared late, rejected, and returned unopened to the Proposer.
 |
| 1. Withdrawal, Substitution, and Modification of Proposals
 | * 1. A Proposer may withdraw, substitute, or modify its Proposal after it has been submitted, and before the deadline for submission of proposals, by sending a written notice, duly signed by an authorized representative, including a copy of the authorization in accordance with **ITP 17.2,** (except that withdrawal notices do not require copies). The corresponding substitution or modification of the Proposal must accompany the respective written notice. All notices must be:
		1. prepared and submitted in accordance with **ITP 17** and **ITP 18** (except that withdrawals notices do not require copies), and in addition, the respective envelopes shall be clearly marked “First Stage Proposal - Withdrawal,” “First Stage Proposal - Substitution,” “First Stage Proposal - Modification;” and
		2. received by the Employer prior to the deadline prescribed for submission of Proposals, in accordance with **ITP 19**.
 |

E. Opening and Evaluation of First Stage TECHNICAL PROPOSALS

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| 1. Opening of First Stage Technical Proposals by Employer
 | * 1. Except as in the cases specified in **ITP 20** and **ITP 21**, the Employer shall conduct the Proposal opening in public, in the presence of Proposers` designated representatives and anyone who chooses to attend, and at the address, date and time specified **in the PDS**. Any specific electronic Proposal opening procedures, if permitted, shall be as specified **in the PDS**.
	2. First, the written notice of withdrawal in the envelopes marked “First Stage Proposal - Withdrawal” shall be opened and read out and the envelope with the corresponding Proposal shall not be opened, but returned to the Proposer. No Proposal withdrawal shall be permitted unless the corresponding withdrawal notice contains a valid authorization to request the withdrawal and is read out at Proposal opening.
	3. Next, envelopes marked “Substitution” shall be opened and read out and exchanged with the corresponding First Stage Technical Proposal being substituted, and the substituted Proposal shall not be opened, but returned to the Proposer. No Proposal substitution shall be permitted unless the corresponding substitution notice contains a valid authorization to request the substitution and is read out at Proposal opening.
	4. Envelopes marked “Modification” shall be opened and read out with the corresponding Proposal. No Proposal modification shall be permitted unless the corresponding modification notice contains a valid authorization to request the modification and is read out at Proposal opening.
	5. Next, all remaining envelopes shall be opened one at a time, reading out the names of all Proposers and other such details as the Employer, at its discretion, may consider appropriate and recorded in the minutes of the First Stage Technical Proposal opening. The Employer will promptly convey these minutes in writing to all Proposers that met the deadline for submitting Proposals.
	6. Only Proposals that are opened and read out at Proposal opening shall be considered further. The Employer shall neither discuss the merits of any Proposal nor reject any Proposal (except for late Proposals, in accordance with **ITP 20.1**).
 |
| 1. Determination of Responsiveness of First Stage Technical Proposals
 | * 1. The Employer will examine the First Stage Technical Proposals, including any alternatives submitted by Proposers, to determine whether they are complete, have been properly signed, and are generally in order.
	2. The Employer will also determine if the Proposals contain departures from the requirements of the RFP Documents (e.g., documentary evidence, responsiveness of the technical proposal) in such numbers or of such nature that the Proposal cannot reasonably be expected to become responsive within the framework of the two-stage process. In this case, the Employer, at its discretion, may exclude the Proposal from further consideration and not issue a Request for Proposals - Second Stage to this Proposer. For all other Proposals, the Employer, through the detailed First Stage Technical Proposal evaluation process, will identify and communicate to the Proposers, pursuant to **ITP 26**, all those areas for which their Proposals depart from the requirements
 |
| 1. Technical Evaluation of First Stage Technical Proposals
 | * 1. The Employer will carry out a detailed technical evaluation of each First Stage Technical Proposal that was determined to be responsive in accordance with to **ITP 23**, in order to determine whether the technical aspects of the Proposal are responsive to the requirements set forth in the RFP Documents. In order to reach such a determination, the Employer will examine the information supplied by the Proposers, pursuant to **ITP 12** to **ITP 15**, and in response to other requirements in the RFP Documents, taking into account the following factors:
		1. overall completeness and compliance with the Employer Requirements, the technical merits of any alternatives offered, conformity of the Works with specified functional/ performance requirements in the request for proposals document;
		2. quality of the technical proposal including, as appropriate, the design methodology, method statements for construction activities, Site organization, Completion Schedule, team composition, qualifications and experience of Contractor’s Personnel, Key Equipment strategy and risk and risk assessment;
		3. suitability of the proposed Works in relation to the environmental and climatic conditions prevailing at the site;
		4. suitability of the Completion Schedule and any alternative time schedules offered by Proposers, as evidenced by a milestone schedule provided in the Technical Proposal;
		5. any proposed deviations in the Proposal to the contractual provisions stipulated in the RFP Documents;
		6. suitability of the Proposer’s Code of Conduct; and
		7. any other relevant technical factors that the Employer deems necessary or prudent to take into consideration as specified in Section III- Evaluation and Qualification Criteria.
	2. The Employer will also review complete alternative technical proposals, if any, offered by the Proposer, pursuant to **ITP 13**, to determine whether such alternatives may constitute an acceptable basis for a Second Stage Proposal to be submitted on its own merits.
 |
| 1. Evaluation of Proposer’s Qualification
 | * 1. The Employer shall ascertain to its satisfaction that, on the basis of updated documentary evidence submitted in accordance with **ITP 12.1 (d),** andSection III- Evaluation and Qualification Criteria the Proposer continues to be qualified to satisfactorily perform the Contract. If there are issues with the continued qualification of the proposer, the Employer may explore ways to address the issues with the Proposer during clarification meeting(s) pursuant **to ITP 26**.
	2. Prior to Contract award, the Employer will verify that the successful Proposer (including each member of a JV) is not disqualified by the Bank due to noncompliance with contractual SEA/SH prevention and response obligations. The Employer will conduct the same verification for each subcontractor proposed by the successful Proposer. If any proposed subcontractor does not meet the requirement, the Employer will require the Proposer to propose a replacement subcontractor.
 |
| 1. Clarification of First Stage Technical Proposals and Review of Proposers’ Proposed Deviations and Alternative Solutions
 | * 1. The Employer may conduct clarification Meeting/Meetings with each responsive proposer to clarify aspects of the First Stage Technical Proposals that require explanation and to review any Proposer’s proposed alternative solutions or reservations to the commercial or contractual provisions of the RFP Documents. The purpose of the meetings shall be broad enough to permit discovery and clarification of technical aspects as well as commercial terms and conditions. Such a meeting shall review suitability of the proposed solutions.
	2. During the discovery and clarification meetings, the Employer will be able to engage in a process to refine its requirements and identify appropriate changes to the technical and commercial terms. The Proposer may also bring to the Employer’s attention any changes it would like to make to its First Stage Technical proposal in the Second Stage Combined Technical and Financial Proposal.
	3. There is no obligation upon the Proposer to attend a Clarification Meeting. If the Proposer is unable, or declines, to attend a Clarification Meeting, the Employer will undertake a reasonable effort to achieve the required clarification by correspondence with the Proposer or by other means such as audio or videoconference as may be available. Any reduction in the scope for obtaining complete clarification of a First Stage Technical Proposal due to having to use these alternative methods is at the Proposer’s risk of its Proposal being rejected.
	4. The Employer will advise the Proposer, pursuant to **ITP 12.1 (f)**, of any deviations the Proposer made or proposed in the First Stage Technical Proposal that the Employer finds:
		1. unacceptable and that must be withdrawn in the Second Stage Combined Technical and Financial Proposal;
		2. acceptable and that will be incorporated into the RFP Documents by way of an Addendum that shall be sent to all Proposers invited to submit a Second Stage Proposal.

If any deviation is waived for a proposer, the Employer will ensure that this deviation is also waived for all other Proposers, as applicable.* 1. Each Clarification Meeting must be attended by a person or persons that, through a written power of attorney, is/are duly authorized to represent Proposer in the discussions and to reach agreement with the Employer on the specific changes in the Proposer’s First Stage Technical Proposal that are required if the Proposer is to submit a Second Stage Technical and Financial Proposal. The Employer will not be responsible for any costs incurred by the Proposer’s party for and in attending the Clarification Meeting(s). An invitation for, and attendance at, Clarification Meetings does not necessarily imply that the Proposer will be invited for the second stage. However, if Clarification Meetings are held, all Proposers that have been determined to be responsive in accordance with **ITP 23.2** will be offered the opportunity of such a meeting, even if their Proposals, in the Employer’s opinion, do not require face to face clarification.
	2. Neither the Proposer-specific memorandum pursuant to **ITP 26.7,** nor any minutes written of the Clarification Meeting(s) or any correspondence exchanged between a specific Proposer and the Employer, will be shared with other Proposers. Except for the memorandum, no requirements upon the Proposer’s Second Stage Combined Technical and Financial Proposal will be implied from any additional Proposer-specific minutes of meetings or correspondence. However, Employer and Proposer might use these documents, as appropriate, as clarification information in the second stage of Proposal preparation or evaluation, respectively.
	3. At the end of the clarification process, the Employer will prepare a Proposer-specific memorandum entitled “Changes Required Pursuant to First Stage Evaluation” and conveyed this to the relevant Proposer as part of the Invitation for Proposals – Second Stage Combined Technical and Financial Proposal.

The Employer will record in each Proposer-specific memorandum:* + 1. all changes to the First Stage Technical Proposal and further elaborations required in the Second Stage Combined Technical and Financial Proposal;
		2. list any deviations pursuant to **ITP 12.1 (f)** and **ITP 26.4** which are unacceptable to the Employer and which the Proposer must withdraw in the Second Stage Combined Technical and Financial Proposal;
		3. any Subcontractors which the Proposer must change, including justification for the change; and
		4. if there is no requirement for any Proposer-specific changes for a Proposer, the Request for Proposals - Second Stage will state so.
 |

F. Invitation to Second Stage Combined Technical and Financial Proposals

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| 1. Invitation to Submit Second Stage Combined Technical and Financial Proposals
 | * 1. Having concluded the First Stage Technical evaluation (including any Clarification Meetings), the Employer:
		1. may issue an Addendum to the RFP Documents amending, among others, **PDS**, the PCC, and the Technical Requirements with the objective of improving competition without compromising the essential performance and/functional requirements (e.g., acceptable deviations brought to the Employer’s attention by one or more Proposers; sharpened formulation of certain Technical Requirements; adjustments to the Implementation Schedule; etc.):
		2. will either:
1. invite the Proposer to submit Second Stage Technical and Financial Proposal, with an updated technical Proposal (reflecting the Proposer-specific memorandum entitled “Changes Required Pursuant to First Stage Technical Evaluation” and/or in Addenda to the RFP Documents) and a corresponding financial Proposal, or
2. notify the Proposer that its Proposal has been rejected on the grounds of being non-responsive, or that the Proposer does not continue to meet the minimum qualification requirements set forth in the Initial Selection Document and in Section III- Evaluation and Qualification Criteria.
	1. Proposers invited to submit Second Stage Technical and Financial Proposals are required to promptly acknowledge to the Employer the receipt of the Invitation for Proposals -- Second Stage Technical and Financial Proposal and the attachments, if any, listed in it.
	2. The deadline and address for the submission of Second Stage Technical and Financial Proposals will be specified in the Invitation for Proposals – Second Stage Technical and Financial Proposal. Similarly, required Proposal-securing Declaration or the amount of the required Proposal Security will also be communicated in the same Invitation.
	3. Proposers are not allowed to form a Joint Venture with other Proposers, nor change the partner(s) or structure of the Joint Venture without the Employer’s approval.
 |

G. Preparation of Second Stage Technical and Financial Proposals

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| 1. Documents Comprising the Second Stage Technical and Financial Proposal
 | * 1. The Proposal shall comprise two Parts, namely the Technical Part and the Financial Part. These two Parts shall be submitted simultaneously in two separate sealed envelopes. One envelope shall contain only information relating to the Technical Part and the other, only information relating to the Financial Part.
	2. The Technical Part shall comprise the following:
		1. **Letter of Proposal**: Second Stage - Technical Part, in accordance to **ITP 29.1**;
		2. **Security**: Proposal Security or Proposal-Securing declaration, in accordance with **ITP 32**;
		3. **Authorization**: written confirmation authorizing the signatory of the Proposal to commit the Proposer, in accordance with **ITP 34.2**;
		4. the updated First Stage technical proposal, comprising any modifications required to the first stage technical proposal as recorded in the Memorandum entitled “Changes Required Pursuant to First Stage Evaluation”;
		5. documentary evidence regarding any changes that may have occurred between the time of submitting the First and Second Stage Proposals that have any material effect on the Proposer’s eligibility and qualifications to perform the Contract;
		6. documentary evidence establishing that any additional or varied Works in accordance with the requirements of the Memorandum entitled “Changes Required Pursuant to First Stage Evaluation”, are technically acceptable. The documentary evidence of the conformity of the Works to the requirements of the Memorandum entitled “Changes Required Pursuant to First Stage Evaluation” may be in the form of literature, drawings and data;
		7. If the Proposer proposes to engage any Subcontractors additional to or different from those named in its First Stage technical proposal for major items of the Works, the Proposer shall give details of the name and nationality of the proposed Subcontractors for each of those items. In addition, the Proposer shall include in its Proposal information establishing compliance with the requirements specified by the Employer for these items; and
		8. Sexual Exploitation and Abuse (SEA), and/or Sexual Harassment (SH) Declaration using the form included in Section IV,
		9. Proposal Forms; other documentation and information which may be specified in the **PDS**.
	3. The First Stage Proposal on which the Second Stage Proposal is based, while not having to be resubmitted, remains an implied, integral part of the Second Stage Proposal. The Proposal validity period pursuant to **ITP 33** will include any parts or provisions of the First Stage Proposal as referenced, assumed or implied by the Second Stage Proposal.
	4. The Financial Part shall comprise the following:
		1. **Letter of Proposal** – Second Stage - Financial Part: prepared in accordance with **ITP 29**;
		2. **Price Schedules:** completed prepared in accordance with **ITP 30** and **ITP 31**;
		3. **Financial Disclosure:** The Proposer shall furnish in the Letter of Proposal information on commissions and gratuities, if any, paid or to be paid to agents or any other party relating to this Proposal; and
		4. **Other:** any other document required in the **PDS**.
	5. The Proposer shall furnish in the Letter of Proposal: Second Stage-Technical Part, three names of the potential DAAB members and attach their curriculum vitae. The list of potential DAAB members proposed by the Employer (Contract Data 21.1) and by the Proposer (Letter of Proposal) shall be subject to Bank’s No-objection.
 |
| 1. Letter of Proposal, and Schedules
 | * 1. The Proposer shall complete the Letter of Proposal Second Stage – Technical Part and Letter of Proposal Second Stage - Financial Part using the relevant forms furnished in Section IV, Proposal Forms. The forms must be completed without any alterations to the text, and no substitutes shall be accepted except as provided under **ITP 17.3**. All blank spaces shall be filled in with the information requested.
 |
| 1. Proposal Prices
 | * 1. Unless otherwise **specified in the PDS,** only the Excavation and Lining Works shall be subject to measurement, and the Proposal Price is deemed to cover all the Contractor’s obligations mentioned in or to be reasonably inferred from the RFP Document in respect of the design, manufacture, including procurement and subcontracting (if any), delivery, construction and completion of the Works. This includes all requirements under the Contractor’s responsibilities for testing, pre-commissioning and commissioning (as applicable) of the Works and, where so required by the RFP Document, the acquisition of all permits, approvals and licenses, etc.; the operation, maintenance and training services and such other items and services as may be specified in the RFP Document, all in accordance with the requirements of the General Conditions.
	2. For the **Excavation and Lining Works**, Proposers shall fill in the rates and prices for all items of the Works described in the Bill of Quantities. Items against which no rate or price is entered by the Proposer shall be deemed covered by the rates for other items in the Bill of Quantities and will not be paid for separately by the Employer. An item not listed in the priced Bill of Quantities shall be assumed to be not included in the Proposal, and provided that the Proposal is determined substantially responsive notwithstanding this omission, the average price of the item quoted by substantially responsive Proposers will be added to the Proposal price and the equivalent total cost of the Proposal so determined will be used for price comparison.
	3. For Works that are not within the scope of **Excavation and Lining Works**, the Proposer shall give a breakdown of the prices in the manner and detail called for in the Schedule of Priced Activities and Sub-activities included in Section IV, Proposal Forms with further breakdown prices for sub activities, as appropriate. The total of the prices of the items in the Schedule of Priced Activities is the Proposer’s offer to complete the works. The cost of any items that the Proposer may have omitted is deemed to be included in the Schedule of Priced Activities and Sub-activities and will not be paid for separately by the Employer.
	4. The prices shall be either fixed or adjustable as specified **in the PDS**.
	5. In the case of **Fixed Price**, prices quoted by the Proposer shall be fixed during the Proposer’s performance of the contract and not subject to variation on any account. A Proposal submitted with an adjustable price quotation will be treated as non-responsive and rejected.
	6. In the case of **Adjustable Price**, prices quoted by the Proposer shall be subject to adjustment during performance of the contract to reflect changes in the cost elements such as labor, material, transport and Contractor’s equipment in accordance with the procedures specified in the corresponding Schedule of Cost Indexation. A Proposal submitted with a fixed price quotation will not be rejected, but the price adjustment will be treated as zero. Proposers are required to indicate the source of labor and material indices in the corresponding Form in Section IV, Proposal Forms.
	7. If so indicated in **ITP 1.1**, Proposals are being invited for individual lots (contracts) or for any combination of lots (packages). Proposers wishing to offer any price reduction (discount) for the award of more than one Contract shall specify in their Letter of Proposal the price reductions applicable to each package, or alternatively, to individual Contracts within the package, and the manner in which the price reductions will apply. **However, discounts for the award of more that one contract will not be considered for proposal evaluation purpose.**
	8. Proposers wishing to offer any unconditional discount shall specify in their Letter of Proposal the offered discounts and the manner in which price discounts will apply.
	9. All duties, taxes, and other levies payable by the Contractor under the Contract, or for any other cause, as of the date 28 days prior to the deadline for submission of Proposals, shall be included in the Proposal price submitted by the Proposer.
 |
| 1. Proposal Currencies
 | * 1. The currency (ies) of the Proposal and the currency (ies) of payments shall be the same and shall be as specified in the **PDS**.
	2. Proposers may be required by the Employer to justify, to the Employer’s satisfaction, their local and foreign currency requirements, and to substantiate that the amounts included in the Schedule of Priced Activities and the Schedule of Rates and Prices, and shown in the Table of Adjustment Data in the Appendix to the Proposal are reasonable, in which case a detailed breakdown of the foreign currency requirements shall be provided by Proposers.
 |
| 1. Securing the Proposal
 | * 1. The Proposer shall furnish as part of its Proposal, either a Proposal-Securing Declaration or a Proposal Security as specified **in the PDS**, in original form and, in the case of a Proposal Security, in the amount and currency specified **in the PDS**.
	2. A Proposal-Securing Declaration shall use the form included in Section IV, Proposal Forms.
	3. If a Proposal Security is specified pursuant to **ITP 32.1**, the Proposal security shall be a demand guarantee in any of the following forms at the Proposer’s option:
	4. an unconditional guarantee issued by a bank or a non-bank financial institution (such as an insurance, bonding or surety company);
	5. an irrevocable letter of credit;
	6. a cashier’s or certified check; or
	7. another security indicated in the **PDS**,

from a reputable source from an eligible country. If an unconditional guarantee is issued by a non-bank financial institution located outside the Employer’s Country the issuing non-bank financial institution shall have a correspondent financial institution located in the Employer’s Country to make it enforceable unless the Employer has agreed in writing, prior to Proposal submission, that a correspondent financial institution is not required.* 1. In the case of a bank guarantee, the Proposal Security shall be submitted either using the Proposal Security Form included in Section IV, Proposal Forms or in another substantially similar format approved by the Employer prior to Proposal submission. In either case, the form must include the complete name of the Proposer. The Proposal Security shall be valid for twenty-eight days (28) beyond the original date of expiry of the Proposal validity, or beyond any extended date if requested under **ITP 33.2.**
	2. If a Proposal Security or a Proposal-Securing Declaration is specified pursuant to **ITP 32.1**, any Proposal not accompanied by a substantially responsive Proposal Security or Proposal-Securing Declaration shall be rejected by the Employer as non-responsive.
	3. If a Proposal Security is specified in accordance with ITP 32.1, the Proposal Security of the Proposers shall be returned as promptly as possible once the successful Proposer has signed the Contract, furnished the required Performance Security, and if required in the PDS, the Environmental and Social (ES ) Performance Security.
	4. The Proposal Security may be forfeited:
1. if a Proposer withdraws its Proposal prior to the expiry date of the Proposal validity specified by the Proposer on the Letter of Proposal or any extended date provided by the Proposer; or
2. if the successful Proposer fails to:

sign the Contract in accordance with ITP 64; orfurnish a Performance Security and if required in the PDS, the Environmental and Social (ES ) Performance Security., in accordance with ITP 65.* 1. The Proposal Security or the Proposal-Securing Declaration of a JV shall be in the name of the JV that submits the Proposal. If the JV has not been legally constituted into a legally enforceable JV at the time of submission of Proposals, the Proposal Security or the Proposal-Securing Declaration shall be in the names of all future members as named in the letter of intent referred to in **ITP 4.1.**
	2. If a Proposal Security is not required **in the PDS**, and:
		+ - 1. if a Proposer withdraws its Proposal prior to the expiry date of the Proposal validity specified by the Proposer on the Letter of Proposal or any extended date provided by the Proposer; or
				2. if the successful Proposer fails to:

sign the Contract in accordance with ITP 64; orfurnish a performance security and if required in the PDS, the Environmental and Social (ES) Performance Security, in accordance with ITP 65,the Employer may, if provided for in the **PDS**, declare the Proposer disqualified to be awarded a contract by the Employer for a period of time as stated in the **PDS**. |
| 1. Period of Validity of Proposals
 | * 1. Proposals shall remain valid until the date specified in the Request for Second Stage Proposalsor any extended date if amended by the Employer in accordance with ITP 8. A Proposal that is not valid until the date specified in the Request for Second Stage Proposals or any extended date if amended by the Employer in accordance with ITP 8, shall be rejected by the Employer as nonresponsive.
	2. In exceptional circumstances, prior to the date of expiry of the Proposal validity, the Employer may request that the Proposers extend the date of of validity until a specified date. The request and the responses to the request shall be made in writing. A Proposer may refuse the request without risking execution of the Proposal-Securing Declaration or forfeiting the Proposal Security. Except as provided in **ITP 33.3**, a Proposer agreeing to the request will not be required or permitted to modify its Proposal, but will be required to ensure that the Proposal Security is extended for a correspondingly longer period, pursuant to **ITP 32.4**.
	3. In the case of fixed price contracts, if the award is delayed by a period exceeding fifty-six (56) days beyond the date of expiry of the Proposal validity specified in accordance with ITP 33.1, the contract price will be adjusted as specified **in the PDS**. Proposal evaluation will be based on the Proposal prices without taking into consideration the above correction.
 |
| 1. Format and Signing of Second Stage Technical and Financial Proposal
 | * 1. The Proposer shall prepare an original and the number of copies/sets of the Proposal specified in the **PDS**, clearly marking each one as: “Stage 2 Proposal – Original” and “Stage 2 Proposal – copy”. In the event of any discrepancy between them, the original shall govern.
	2. The original and all copies of the Proposal, each consisting of the documents listed in **ITP 28.2**, shall be typed or written in indelible ink and shall be signed by a person or persons duly authorized to sign on behalf of the Proposer. The authorization must be in writing as **specified in the PDS**, and included in the Proposal pursuant to **ITP 28.2 (c).** The name and position held by each person signing the authorization must be typed or printed below the signature. All pages of the Proposal where entries or amendments have been made shall be signed or initialed by the person signing the Proposal.
	3. In case the Proposer is a JV, the Proposal shall be signed by an authorized representative of the JV on behalf of the JV, and so as to be legally binding on all the members as evidenced by a power of attorney signed by their legally authorized representatives.
	4. The Proposal shall contain no interlineations, erasures, or overwriting, except to correct errors made by the Proposer, in which case such corrections shall be initialed by the person or persons signing the Proposal.
	5. The Proposer shall furnish in the Technical and Financial Proposal Submission Forms (Section IV) information regarding commissions or gratuities, if any, paid or to be paid to agents relating to this procurement and to the execution of the Contract should the Proposer be successful.
 |

H. Submission of Second Stage Technical and Financial Proposals

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| 1. Submission, Sealing and Marking of Proposals
 | * 1. Unless the **PDS** states that Proposals are to be submitted electronically the following procedures shall apply.
		+ - 1. The Proposer shall deliver the Proposal in two separate, sealed envelopes. One envelope containing the Technical Part and the other the Financial Part. These two envelopes shall be enclosed in a sealed outer envelope and clearly marked “Stage 2 Proposal - Original”.
				2. In addition, the Proposer shall prepare copies of the Proposal, in the number specified in the PDS. Copies of the Technical Part shall be placed in a separate sealed envelope marked “Copies: Stage 2 Proposal Technical Part”. Copies of the Financial Part shall be placed in a separate sealed envelope marked “Copies: Stage 2 Proposal Financial Part”. The Proposer shall place both of these envelopes in a separate, sealed outer envelope marked “Stage 2 Proposal - Copies”. In the event of any discrepancy between the original and the copies, the original shall prevail.
 |
| 1. Deadline for Submission of Proposals
 | * 1. Stage 2 Proposals must be received by the Employer at the address and no later than the date and time indicated in the Request for Second Stage Proposals.
	2. The Employer may, at its discretion, extend this deadline for submission of Proposals by amending the RFP Documents in accordance with **ITP 8.3**, in which case all rights and obligations of the Employer and Proposers will thereafter be subject to the deadline as extended.
 |
| 1. Late Proposals
 | * 1. Any Proposal received by the Employer after the Proposal submission deadline as specified in the Invitation for Proposals – Second Stage Combined Technical and Financial Proposal, will be rejected and returned unopened to the Proposer.
 |
| 1. Withdrawal, Substitution, and Modification of Stage 2 proposals
 | * 1. A Proposer may withdraw, substitute, or modify its Proposal after it has been submitted, and before the deadline for submission of proposals, by sending a written notice, duly signed by an authorized representative, including a copy of the authorization in accordance with **ITP 34.2**, (except that withdrawal notices do not require copies). The corresponding substitution or modification of the Proposal must accompany the respective written notice. All notices must be:
		+ - 1. prepared and submitted in accordance with ITP 34 and ITP 35 (except that withdrawals notices do not require copies), and in addition, the respective envelopes shall be clearly marked “Stage *2* Proposal - Withdrawal”; “Stage *2* Proposal – Substitution (“Technical Part” and/or “Financial Part” )”; “Stage 2 Proposal – Modification (“Technical Part” and/or “Financial Part” );” and
				2. received by the Employer prior to the deadline prescribed for submission of Proposals, in accordance with ITP 36.
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I. Second Stage: Public Opening of Technical Parts

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| 1. Public Opening Second Stage of Technical Part
 | * 1. The Employer shall conduct the Second Stage public opening of Technical Parts in the presence of Proposers` designated representatives and anyone who chooses to attend, and at the address, date and time specified in the request to submit Second Stage Proposals. Any specific electronic Proposal opening procedures required if permitted, shall be as specified **in the PDS**:
1. first, the written notice of withdrawal in the envelopes marked “Stage 2 Proposal - Withdrawal” shall be opened and read out and the envelope with the corresponding Proposal shall not be opened, but returned to the Proposer. No Proposal withdrawal shall be permitted unless the corresponding withdrawal notice contains a valid authorization to request the withdrawal and is read out at Proposal opening;
2. next, the envelopes marked “Stage 2 Proposal – Substitution-Technical Part” shall be opened and read out and exchanged with the corresponding Proposal being substituted, and the substituted Proposal shall not be opened, but returned to the Proposer. No Proposal substitution shall be permitted unless the corresponding substitution notice contains a valid authorization to request the substitution and is read out at Proposal opening;
3. next, envelopes marked “Stage 2 Proposal – Modification – Technical Part” shall be opened and read out with the corresponding Proposal. No Proposal modification shall be permitted unless the corresponding modification notice contains a valid authorization to request the modification and is read out at Proposal opening. Only Proposals that are opened and read out at Proposal opening shall be considered further;
4. next, all other envelopes marked “Stage 2 Proposal – Technical Part” shall be opened one at a time. All envelopes marked “Stage 2 Proposal – Financial Part” shall remain sealed, and kept by the Employer in safe custody until they are opened, at a later public opening, following the evaluation of the Technical Part of the Proposals. On opening the Technical Part envelopes, the Employer shall read out: the name of the Proposer and whether there is a modification; the presence or absence of a Proposal securityor a Proposal-Securing Declaration; and any other details as the Employer may consider appropriate
5. no Proposal shall be rejected at the public opening except for late Proposals, in accordance with **ITP 37.1**.
	1. The Employer shall prepare a record of the public opening that shall include, as a minimum: the name of the Proposer and whether there is a withdrawal, substitution, or modification. The Proposers’ representatives who are present shall be requested to sign the record. The omission of a Proposer’s signature on the record shall not invalidate the contents and effect of the record. A copy of the record shall be distributed to all Proposers who submitted Proposals in time, and posted online when electronic procurement is permitted.
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J. Second Stage: Evaluation of Technical Part

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| 1. Confidentiality
 | * 1. Information relating to the evaluation of the Technical Part shall not be disclosed to Proposers or any other persons not officially concerned with the RFP process until the Notification of evaluation of the Technical Part in accordance with **ITP 44.**
	2. Any effort by a Proposer to influence the Employer in the evaluation of the Proposals may result in the rejection of its Proposal.
	3. Notwithstanding **ITP 44**, from the time of Proposal opening to the time of Contract award, if any Proposer wishes to contact the Employer on any matter related to the RFP process, it should do so in writing.
 |
| 1. Clarification of Proposals
 | * 1. To assist in the examination, evaluation, and comparison of the Proposals, and qualification of the Proposers, the Employer may, at its discretion, ask any Proposer for a clarification of its Proposal. Any clarification submitted by a Proposer that is not in response to a request by the Employer shall not be considered. The Employer’s request for clarification and the response shall be in writing.
	2. If a Proposer does not provide clarifications of its Proposal by the date and time set in the Employer’s request for clarification, its Proposal may be rejected.
 |
| 1. Determination of Responsiveness
 | * 1. The Employer’s determination of a Proposal’s substantial responsiveness is to be based on the contents of the Proposal itself. For purposes of this determination, a substantially responsive Proposal is one that (a) materially conforms with the First Stage Proposal and/or any alternative components or alternative Proposals which the Employer invited the Proposer to offer in its Second Stage Proposal, (b) incorporates the modifications, if any, listed in the Proposer-specific memorandum titled “Changes Required Pursuant to First Stage Evaluation” pursuant to **ITP 26.7**, and (c), reflects amendments, if any, to the RFP Documents issued as Addenda together with or subsequent to the Invitation for Proposals -- Second Stage, pursuant to **ITP 27.1**.
	2. Provided that a Proposal is substantially responsive, the Employer may waive any nonmaterial nonconformity in the Proposal.
	3. Provided that a Proposal is substantially responsive, the Employer may request that the Proposer submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities in the Proposal related to documentation requirements.
 |
| 1. Evaluation of Technical Proposals
 | * 1. The Employer’s evaluation of technical proposals will be carried out as specified in Section III, Evaluation and Qualification Criteria.
	2. The scores to be given to technical factors and sub factors are specified in the **PDS**.
 |
| 1. Notification of evaluation of Technical Parts
 | * 1. Following the completion of the evaluation of the Technical Parts of Proposals, the Employer shall make the following notifications:
1. Notify in writing those Proposers whose Proposals were considered substantially non-responsive to the requirements in the RFP, advising them of the following information:
	* 1. the grounds on which their Technical Part has been considered to be non-responsive;
		2. their envelope marked “Financial Part” will be returned to them unopened after the completion of the Proposal evaluation process and the signing of the Contract;
2. simultaneously, notify in writing those Proposers whose Proposals were considered substantially responsive to the requirements in the RFP, advising them that their Proposal has been evaluated as substantially responsive to the RFP; and
3. notify all Proposers in accordance with the one of following two options:
4. Option 1: when **BAFO or negotiations is not to be applied,** the date, time and location of the public opening of the envelopes marked ‘Financial Part”, or;
5. Option 2: when BAFO or negotiations apply as specified **in the PDS ITP 55** and **ITP 57** respectively, that: (i) the envelopes marked ‘Financial Part’ will not be opened in public, but in the presence of a Probity Assurance Provider (Probity Auditor) appointed by the Employer, and that (ii) the announcement of the names of the Proposers whose Financial Parts will be opened and the total Proposal prices will be deferred to the time that the Notification of Intention to Award the contract is issued.
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K. Second Stage: Opening of Financial Parts

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| 1. Public Opening of Financial Parts when BAFO or negotiations do not apply
 | * 1. When BAFO or negotiations do not apply as specified **in the PDS**, the Financial Parts will be opened in public by the Employer in the presence of Proposers, or their designated representatives, and anyone else who chooses to attend. Each envelope marked “Financial Part” shall be inspected to confirm that it has remained sealed and unopened. These envelopes shall then be opened by the Employer. The Employer shall read out the names of each Proposer, the technical score, the total Proposal prices, per lot (contract) if applicable, including any discounts, the presence or absence of a Proposal Security or Proposal-Securing Declaration, if required and any other details as the Employer may consider appropriate. Only discounts read out at the public opening shall be considered for evaluation. The Letter of Proposal - Financial Part and the Price Schedules are to be initialed by representatives of the Employer attending the public opening in the manner specified in the **PDS**.
	2. The Employer shall prepare a record of the Financial Part of the Proposal opening that shall include, as a minimum:
1. the name of the Proposers whose Financial Part was opened;
2. the Proposal prices, per lot (contract) if applicable, including any discounts.
	1. The Proposers whose envelopes marked “Financial Part” have been opened, or their representatives who are present, shall be requested to sign the record. The omission of a Proposer’s signature on the record shall not invalidate the contents and effect of the record. A copy of the record shall be distributed to all Proposers.
 |
| 1. Opening of Financial Parts when BAFO or negotiations apply
 | * 1. When, **as specified in the PDS**, BAFO or negotiations apply the Financial Parts will not be opened in public, and will be opened in the presence of a Probity Assurance Provider appointed by the Employer.
	2. At the opening each of the envelopes marked “Financial Part” shall be inspected to confirm that they have remained sealed and unopened. These envelopes shall then be opened by the Employer. The Employer shall record the names of each Proposer, and the total Proposal prices and any other details as the Employer may consider appropriate. The Letter of Proposal - Financial Part and the Price Schedules are to be initialed by representatives of the Employer attending the public opening and by the Probity Assurance Provider.
	3. The Employer shall prepare a record of the opening of the Financial Part envelopes that shall include, as a minimum:

(a) the name of the Proposers whose Financial Part was opened; (b) the Proposal prices including any discounts. And(c) the Probity Assurance Provider’s report of the opening of the Financial Part.* 1. The Probity Assurance Provider shall sign the record. The contents of the envelopes marked ‘Financial Part’ and the record of the opening shall be kept in safe custody by the Employer and not disclosed to anyone until the time of the transmission of the Notification of Intention to Award the contract.
 |

L. Second Stage: Evaluation of Financial Part

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| 1. Nonmaterial Nonconformities
 | * 1. Provided that a Proposal is substantially responsive, the Employer shall rectify quantifiable nonmaterial nonconformities related to the Proposal Price. To this effect, the Proposal Price shall be adjusted, for comparison purposes only, to reflect the price of a missing or non-conforming item or component by adding the average price of the item or component quoted by substantially responsive Proposers. If the price of the item or component cannot be derived from the price of other substantially responsive Proposers, the Employer shall use its best estimate.
 |
| 1. Arithmetic Correction
 | * 1. The Employer shall correct arithmetical errors on the following basis:
1. **Schedule of Priced Sub-activities:** where there are errors between the total of the amounts given under the column for Sub-activity Price and the amount given under the total for the Sub-activity, the former shall prevail and the latter will be corrected accordingly;
2. **Schedule of Priced Activities:** where there are errors between the total of the amounts given under the column for the Activity Price and the amount given under the total price of Activities, the former shall prevail and the latter will be corrected accordingly;
3. where there are errors between the total of the amounts in the **Schedule of Priced Sub-activities** and the corresponding amount in the **Schedule of Priced Activities**, the former shall prevail and the latter will be corrected accordingly;
4. **Schedule of Rates and Prices**: if there is a discrepancy between the unit price and the total price that is obtained by multiplying the unit price and quantity, the unit price shall prevail and the total price shall be corrected, unless in the opinion of theEmployer there is an obvious misplacement of the decimal point in the unit price, in which case the total price as quoted shall govern and the unit price shall be corrected;
5. **Schedule of Rates and Prices:** if there is an error in a total corresponding to the addition or subtraction of subtotals, the subtotals shall prevail and the total shall be corrected;
6. **Grand Summary:** where there are errors between (i) the total price of Activities in the Schedule of **Priced Activities** and the total of the **Schedule of Rates and Prices** respectively**,** and (ii) the amount given in **Grand Summary**, (i) shall prevail and the latter will be corrected accordingly; and
7. if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail subject to (a) to (f) above.
	1. A Proposer shall be requested to accept the correction of arithmetical errors. Failure to accept the correction in accordance with **ITP 48.1** shall result in the rejection of the Proposal.
 |
| 1. Conversion to Single Currency
 | * 1. For evaluation and comparison purposes, the currency (ies) of the Proposal shall be converted into a single currency as specified **in the PDS.**
 |
| 1. Margin of Preference
 | * 1. Unless otherwise specified **in the** **PDS,** a margin of preference for domestic Proposers[[11]](#footnote-12) shall not apply.
 |
| 1. Evaluation Process Financial Parts
 | * 1. To evaluate each Proposal’s Financial Part, the Employer shall consider the following:
		+ - 1. the Proposal price, excluding provisional sums and the provision, if any, for contingencies in the Schedule of Priced Activities and the Schedule of Rates and Prices, but including Daywork items, where priced competitively;
				2. price adjustment for correction of arithmetic errors in accordance with ITP 48.1;
				3. price adjustment due to discounts offered in accordance with ITP 30.7;
				4. price adjustment due to quantifiable nonmaterial nonconformities in accordance with ITP 47.1;
				5. converting the amount resulting from applying (a) to (c) above, if relevant, to a single currency in accordance with ITP 49.1; and
				6. any additional evaluation factors indicated in the PDS and detailed in Section III, Evaluation and Qualification Criteria.
	2. If price adjustment is allowed in accordance with **ITP 30.5**, the estimated effect of the price adjustment provisions of the Conditions of Contract, applied over the period of execution of the Contract, shall not be taken into account in Proposal evaluation.
	3. If this RFP allows Proposers to quote separate prices for different lots (contracts), each lot will be evaluated separately to determine the most advantageous proposal using the methodology specified in Section III, Evaluation and Qualification Criteria. **Discounts that are conditional on the award of more than one lot, or slice shall not be considered for proposal evaluation.**
 |
| 1. Abnormally Low Proposals
 | * 1. An Abnormally Low Proposal is one where the Proposal price, in combination with other elements of the Proposal, appears so low that it raises material concerns as to the capability of the Proposer to perform the Contract for the offered Proposal Price.
	2. In the event of identification of a potentially Abnormally Low Proposal, the Employer shall seek written clarifications from the Proposer, including detailed price analyses of its Proposal price in relation to the subject matter of the contract, scope, proposed methodology, schedule, allocation of risks and responsibilities and any other requirements of the RFP Document.
	3. After evaluation of the price analyses, in the event that the Employer determines that the Proposer has failed to demonstrate its capability to perform the Contract for the offered Proposal Price, the Employer shall reject the Proposal.
 |
| 1. Unbalanced or Front Loaded Proposals
 | * 1. If the Proposal that is evaluated as the lowest evaluated cost is, in the Employer’s opinion, seriously unbalanced or front loaded the Employer may require the Proposer to provide written clarifications. Clarifications may include detailed price analyses to demonstrate the consistency of the Proposal prices with the scope of the Works, proposed methodology, schedule and any other requirements of the RFP Document.
	2. After the evaluation of the information and detailed price analyses presented by the Proposer, the Employer may:
		1. accept the Proposal, or
		2. if appropriate, require that the total amount of the Performance Security be increased, at the expense of the Proposer, to a level not exceeding twenty percent (20%) of the Contract Price; or
		3. reject the Proposal.
 |

M. Stage 2: Evaluation of Combined Technical and Financial Part

|  |  |
| --- | --- |
| 1. Evaluation of Combined Technical and Financial Proposals
 | * 1. The Employer’s evaluation of responsive Second Stage Proposals will take into account technical factors, in addition to cost factors in accordance with Section III – Second Stage Evaluation and Qualification Criteria. The weight to be assigned for the Technical factors and cost is specified **in the PDS**. The Employer will rank the proposals based on the evaluated proposal score (B).
 |
| 1. Best and Final Offer (BAFO)
 | * 1. After completion of the combined technical and financial evaluation of proposals, if **specified in the PDS**, the Employer may invite those Proposers to submit their BAFOs. The procedure for submitting BAFOs will be **specified in the PDS**. BAFO is a final opportunity for Proposers to improve their Proposals without changing the specified business function and performance requirements in accordance with the invitation to Submit Second Stage Combined Technical and Financial Proposals. Proposers are not obliged to submit a BAFO. Where BAFO is used there will be no negotiation after BAFO.
	2. BAFO will apply a two envelope procurement process. The submission of BAFOs, opening of the Technical Parts and Financial Parts and the evaluation of Proposals will follow the procedures described for the Technical, Financial and Combined evaluation above, as appropriate.
 |
| 1. Most Advantageous Proposal (MAP)
 | * 1. The Most Advantageous Proposal is the Proposal of the Proposer that meets the Qualification Criteria, and whose Proposal has been determined to be:
1. substantially responsive to the RFP; and
2. the best evaluated Proposal i.e. the highest scoring Proposal, in the combined technical and financial evaluation.
 |
| 1. Negotiations
 | * 1. If specified **in the PDS**, the Employer may conduct negotiations following the evaluation of Second Stage Proposals and before the final contract award. The procedure of the negotiations will be **specified in the PDS**.
	2. Negotiations shall be held in the presence of Probity Assurance Provider appointed by the Employer.
	3. Negotiations may address any aspect of the contract so long as they do not change the specified business function and performance requirements.
	4. The Employer may negotiate first with the Proposer that has the Most Advantageous Proposal. If the negotiations are unsuccessful the Employer may negotiate with the Proposer that has the next best Most Advantageous Proposal, and so on down the list until a successful negotiated outcome is achieved.
 |
| 1. Employer’s Right to Accept Any Proposal, and to Reject Any or All Proposals
 | * 1. The Employer reserves the right to accept or reject any Proposal, and to annul the RFP process and reject all Proposals at any time prior to contract award, without thereby incurring any liability to Proposers. In case of annulment, all Proposals submitted and specifically, Proposal securities shall be promptly returned to the Proposers.
 |
| 1. Standstill Period
 | * 1. The Contract shall not be awarded earlier than the expiry of the Standstill Period. The Standstill Period shall be ten (10) Business Days unless extended in accordance with ITP 63. The Standstill Period commences the day after the date the Employer has transmitted to each Proposer (that has not already been notified that it has been unsuccessful) the Notification of Intention to Award the Contract. Where only one Proposal is submitted, or if this contract is in response to an emergency situation recognized by the Bank, the Standstill Period shall not apply.
 |
| 1. Notification of Intention to Award
 | * 1. The Employer shall send to each Proposer (that has not already been notified that it has been unsuccessful) the Notification of Intention to Award the Contract to the successful Proposer. The Notification of Intention to Award shall contain, at a minimum, the following information:
1. the name and address of the Proposer submitting the successful Proposal;
2. the Contract price of the successful Proposal;
3. the total combined score of the successful Proposal;
4. the names of all Proposers who submitted Proposals, and their Proposal prices as readout and as evaluated prices and technical score;
5. a statement of the reason(s) the Proposal (of the unsuccessful Proposer to whom the notice is addressed) was unsuccessful;
6. the expiry date of the Standstill Period; and
7. instructions on how to request a debriefing or submit a complaint during the standstill period;
 |

N. Award of Contract

|  |  |
| --- | --- |
| 1. Award Criteria
 | * 1. Subject to **ITP 58.1***,* the Employer shall award the Contract to the Proposer with the Most Advantageous Proposal, provided that the Proposer is determined to be eligible and qualified to perform the Contract satisfactorily.
 |
| 1. Notification of Award
 | * 1. Prior to the date of expiry of the Proposal validity, and upon expiry of the Standstill Period, specified in **ITP 59.1** or any extension thereof, and upon satisfactorily addressing any complaint that has been filed within the Standstill Period, the Employer shall notify the successful Proposer, in writing, that its Proposal has been accepted. The notification of award (hereinafter and in the Conditions of Contract and Contract Forms called the “Letter of Acceptance”) shall specify the sum that the Employer will pay the Supplier in consideration of the execution of the Contract (hereinafter and in the Conditions of Contract and Contract Forms called “the Contract Price”).
	2. Within ten (10) Business days from the transmission of the Letter of Acceptance, the Employer shall publish the Contract Award Notice which shall contain, at a minimum, the following information:
1. name and address of the Employer;
2. name and reference number of the contract being awarded, and the selection method used;
3. names of all Proposers that submitted Proposals, and their Proposal prices as read out at Proposal opening, and as evaluated;
4. name of Proposers whose Proposals were rejected and the reasons for their rejection;
5. the name of the successful Proposer, the final total contract price, the contract duration and a summary of its scope; and
6. successful Proposer’s Beneficial Ownership Disclosure Form, if specified in PDS ITP 64.1.
	1. The Contract Award Notice shall be published on the Employer’s website with free access if available, or in at least one newspaper of national circulation in the Employer’s Country, or in the official gazette. The Employer shall also publish the contract award notice in UNDB online.
	2. Until a formal contract is prepared and executed, the Letter of Acceptance shall constitute a binding Contract.
 |
| 1. Debriefing by the Employer
 | * 1. On receipt of the Borrower’s Notification of Intention to Award referred to in **ITP 60**, an unsuccessful Proposer has three (3) Business Days to make a written request to the Employer for a debriefing. The Employer shall provide a debriefing to all unsuccessful Proposers whose request is received within this deadline.
	2. Where a request for debriefing is received within the deadline, the Employer shall provide a debriefing within five (5) Business Days, unless the Employer decides, for justifiable reasons, to provide the debriefing outside this timeframe. In that case, the standstill period shall automatically be extended until five (5) Business Days after such debriefing is provided. If more than one debriefing is so delayed, the standstill period shall not end earlier than five (5) Business Days after the last debriefing takes place. The Employer shall promptly inform, by the quickest means available, all Proposers of the extended standstill period.
	3. Where a request for debriefing is received by the Employer later than the three (3)-Business Day deadline, the Employer should provide the debriefing as soon as practicable, and normally no later than fifteen (15) Business Days from the date of publication of Public Notice of Award of contract. Requests for debriefing received outside the three (3)-day deadline shall not lead to extension of the standstill period.
	4. Debriefings of unsuccessful Proposers may be done in writing or verbally. The Proposer shall bear their own costs of attending such a debriefing meeting.
 |
| 1. Signing of Contract
 | * 1. The Employer shall send to the successful Proposer the Letter of Acceptance including the Contract Agreement, and, if specified in the PDS, a request to submit the Beneficial Ownership Disclosure Form providing additional information on its beneficial ownership. The Beneficial Ownership Disclosure Form, if so requested, shall be submitted within eight (8) Business Days of receiving this request.
	2. The successful Proposer shall sign, date and return to the Employer, the Contract Agreement within twenty-eight (28) days of its receipt.
 |
| 1. Performance Security
 | * 1. Within twenty-eight (28) days of the receipt of the Letter of Acceptance from the Employer, the successful Proposer shall furnish the Performance Security and if required in the PDS, the Environmental and Social (ES ) Performance Security, in accordance with the General Conditions, subject to **ITP 53.2 (b),** using the Performance Security and ES Performance Security Forms included in Section X, Contract Forms, or another form acceptable to the Employer. If the performance security furnished by the successful Proposer is in the form of a bond, it shall be issued by a bonding or insurance company that has been determined by the successful Proposer to be acceptable to the Employer. A foreign institution providing a bond shall have a correspondent financial institution located in the Employer’s Country, unless the Employer has agreed in writing that a correspondent financial institution is not required.
	2. Failure of the successful Proposer to submit the above-mentioned Performance Security and if required in the PDS, the Environmental and Social (ES ) Performance Security, or sign the Contract shall constitute sufficient grounds for the annulment of the award and forfeiture of the Proposal security. In that event the Employer may award the Contract to the next lowest evaluated Proposer whose offer is substantially responsive and is determined by the Employer to be qualified to perform the Contract satisfactorily.
 |
| 1. Procurement Related Complaint
 | * 1. The procedures for making a Procurement-related Complaint are as specified in the PDS.
 |

Section II - Proposal Data Sheet (PDS)

The following specific data for the proposed Works shall complement, supplement, or amend the provisions in the Instructions to Proposers (ITP). Whenever there is a conflict, the provisions herein shall prevail over those in ITP.

*[Where an e-procurement system is used, modify the relevant parts of the* ***PDS*** *accordingly to reflect the e-procurement process]*

*[Instructions for completing the Proposal Data Sheet are provided, as needed, in the notes in italics mentioned for the relevant ITP. All notes in italics, other than those intended for the Proposer, should be deleted]*

|  |  |
| --- | --- |
| **ITP Reference** | **A. General** |
| **ITP 1.1** | The reference number of the Request for Proposals is: ***[insert reference number of the Request for Proposals]*** The Employer is: ***[insert name of the Employer]*** The name of the RFP is: ***[insert name of the RFP]*** The number and identification of lots (contracts)comprising this RFP is: **[*insert number and identification of lots (contracts)]***  |
| **ITP 2.1** | The Borrower is: ***[insert name of the Borrower and statement of relationship with the Employer, if different from the Borrower. This insertion should correspond to the information provided in the Invitation for Proposals]***  |
| **ITP 2.1** | Loan or Financing Agreement amount: ***[insert US$ equivalent]***\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_The name of the Project is: ***[insert name of the project]***  |
| **ITP 1.3 (a)** | *[delete if not applicable]*“**Electronic – Procurement System**The Employer shall use the following electronic-procurement system to manage this procurement process:*[insert name of the e-system and url address or link]*The electronic-procurement system shall be used to manage the following aspects of the Procurement process:*[insert aspects e.g. issuing RFP, submissions of Proposals, opening of Proposals]*” |
| **ITP 4.1**  | Maximum number of members in the JV shall be: ***[insert a number]*** *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
| ITP 4.5 | A list of debarred firms and individuals is available on the Bank’s external website: <http://www.worldbank.org/debarr.> |
| **B. RFP Document** |
| **ITP 7.1** | For **Clarification of Proposal purposes** only, the Employer’s address is:***[insert the corresponding information as required below. This address may be the same as or different from that specified under provision ITP 19.1 for Proposal submission]***Attention: *[****insert full name of person, if applicable****]*Address: *[****insert street address and number****]*Floor/ Room number*: [****insert floor and room number, if applicable****]*City:*] [****insert name of city or town****]*ZIP Code: *[****insert postal (ZIP) code, if applicable****]*Country: *[****insert name of country****]*Telephone: *[****insert telephone number, including country and city codes****]*Facsimile number: *[****insert fax number, including country and city code****s]*Electronic mail address: *[****insert email address, if applicable****]*Requests for clarification should be received by the Employer no later than: ***[insert no. of days].*** |
| **ITP 7.1**  | Web page: *[****in case used, identify the widely used website or electronic portal of free access where RFP process information is published****]*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **ITP 7.4** | A Pre-Proposal meeting\_\_\_\_\_\_\_\_\_ take place at the following date, time and place:Date: Time: Place: A site visit conducted by the Employer ***\_\_\_\_\_\_\_\_\_\_\_[insert “shall be” or “shall not be”]*** organized. |
| **C. Preparation of Proposals** |
| **ITP 11.1** | The language of the Proposal is: ***[insert “English” or” Spanish” or “French”]****.* ***[Note: In addition to the above language, and if agreed with the Bank, the Employer has the option to issue translated versions of the RFP Document in another language which should either be: (a) the national language of the Employer; or (b) the language used nation-wide in the Employer’s Country for commercial transactions. In such case, the following text shall be added:]******“In addition, the RFP Document is translated into the [insert national or nation-wide used] language [if there are more than one national or nation-wide used language, add “and in the \_\_\_\_\_\_\_\_\_\_\_\_” [insert the second national or nation-wide language].******Proposals shall have the option to submit their Proposal in any one of the languages stated above. Proposers shall not submit Proposals in more than one language.]”***All correspondence exchange shall be in \_\_\_\_\_\_\_\_\_\_\_\_ language.Language for translation of supporting documents and printed literature is \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. ***[specify one language]****.* |
| **ITP 12.1(j)** | The Proposer shall submit with its Proposal the following additional documents:***[list any additional document not already listed in ITP 12.1 that must be submitted with the Proposal. The list of additional documents shall include the following:]*****Code of Conduct for Contractor’s Personnel (ES)** The Proposer shall submit its Code of Conduct that will apply to Contractor’s Personnel (as defined in Sub-Clause 1.1.22 of the General Conditions), to ensure compliance with the Contractor’s Environmental and Social (ES) obligations under the Contract. The Proposer shall use for this purpose the Code of Conduct form provided in Section IV. No substantial modifications shall be made to this form, except that the Proposer may introduce additional requirements, including as necessary to take into account specific Contract issues/risks.  |
| **ITP 17.1, ITP 34.1 and, ITP 35.1** | In addition to the original of the Proposal, the number of copies is: ***[insert number of copies]***  |
| **ITP 17.2 and ITP 34.2** | The written confirmation of authorization to sign on behalf of the Proposer shall consist of: ***[insert the name and description of the documentation required to demonstrate the authority of the signatory to sign the*** *Proposal****].***  |
| **D. Submission of First Stage Technical Proposals** |
| **ITP 19.1**  | For **Proposal submission purposes** only, the Employer’s address is : ***[This address may be the same as or different from that specified under provision ITP 7.1 for clarifications]***Attention: *[****insert full name of person, if applicable]*** Street Address: *[****insert street address and number****]* Floor/Room number: *[****insert floor and room number, if applicable****]* City: *[****insert name of city or town****]* ZIP Code: *[****insert postal (ZIP) code, if applicable****]* Country: *[****insert name of country****]* **The deadline for Proposal submission is:**Date: ***[insert day, month, and year, e.g. 15 June, 2017]*** Time: *[****insert time, and identify if a.m. or p.m., e.g. 10:30 a.m.****]****[The date and time should be the same as those provided in the Request for Proposals, unless subsequently amended pursuant to ITP 19.2]*** |
| **ITP 19.1, ITP 35.1 and ITP 36.1** | Proposers \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ ***[insert “shall” or “shall not”]*** have the option of submitting their Proposals electronically.***[The following provision should be included and the required corresponding information inserted only if Proposers have the option of submitting their Proposals electronically. Otherwise omit.]***The electronic Proposal submission procedures shall be: ***[insert a description of the electronic Proposal submission procedures.]*** |
| **ITP 22.1**  | The Proposal opening shall take place at:Street Address: *[****insert street address and numbe****r]* Floor/Room number: *[****insert floor and room number, if applicable****]* City: *[****insert name of city or town****]* Country: *[****insert name of country****]* Date: ***[insert day, month, and year, e.g. 15 June, 2017]*** Time: *[****insert time, and identify if a.m. or p.m. e.g. 10:30 a.m.****]* ***[Date and time should be the same as those given for the deadline for submission of Proposals in ITP 19.1]*** |
| **ITP 22.1 and ITP 39.1** | ***[The following provision should be included and the required corresponding information inserted only if Proposers have the option of submitting their Proposals electronically. Otherwise omit.]***The electronic Proposal opening procedures shall be: ***[insert a description of the electronic Proposal opening procedures.]*** |
| **ITP 28.2 (i)** | ‘The Proposer shall submit with its Proposal the following additional documents:***[list any additional document not already listed in ITP 28.2 that must be submitted with the Second Stage Financial Proposal]’ otherwise state ‘none’.*** |
| **ITP 28.4 (d)** | ‘The Proposer shall submit with its Proposal the following additional documents:***[list any additional document not already listed in ITP 28.4 that must be submitted with the Second Stage Financial Proposal]’ otherwise state ‘none’.*** |
| **ITP 30.1** | ***[Normally, based on this contractual approach, only the Excavation and Lining Works shall be subject to measurement. Specify if there are any other Works that shall be subject to measurement. Otherwise, state: “Not Applicable”.]***  |
| **ITP 30.3** | The prices quoted by the Proposer ***[insert “shall “or “shall not”] \_\_\_\_\_\_\_\_\_\_\_*** be subject to adjustment during the performance of the Contract. |
| **ITP 31.1** | The currency(ies) of the Proposal and the payment currency(ies) shall be in accordance with Alternative \_\_\_\_\_\_\_\_\_ as described below:**Alternative A (Proposers to quote entirely in local currency):**(a) The prices shall be quoted by the Proposer in the Schedules of Priced Activities and Sub-activities and the Schedule of Rates and Prices entirely in ***\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_[Insert the name of the currency of the Employer’s Country,]*** and further referred to as “the local currency”. A Proposer expecting to incur expenditures in other currencies for inputs to the Works supplied from outside the Employer’s country (referred to as “the foreign currency requirements”) shall indicate in the Appendix to Proposal - Table C, the percentage(s) of the Proposal Price (excluding Provisional Sums), needed by the Proposer for the payment of such foreign currency requirements, limited to no more than three foreign currencies.(b) The rates of exchange to be used by the Proposer in arriving at the local currency equivalent and the percentage(s) mentioned in (a) above shall be specified by the Proposer in the Appendix to Proposal - Table C, and shall apply for all payments under the Contract so that no exchange risk will be borne by the successful Proposer.**Alternative B (Proposers allowed to quote in local and foreign currencies):**(a) The prices shall be quoted by the Proposer in the Schedules of Priced Activities and Sub-activities and the Schedule of Rates and Prices separately in the following currencies:1. for those inputs to the Works that the Proposer expects to supply from within the Employer’s country, in ***\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_[Insert the name of the currency of the Employer’s Country],*** and further referred to as “the local currency”; and
2. for those inputs to the Works that the Proposer expects to supply from outside the Employer’s country (referred to as “the foreign currency requirements”), in up to any three foreign currencies.
 |
| **ITP 32** | ***[If a Proposal Security shall be required, a Proposal-Securing Declaration shall not be required, and vice versa.]***A *Proposal Security* ***[insert “shall be” or “shall not be”]*** required. A Proposal-Securing Declaration ***[insert “shall be” or “shall not be”]*** required.If a Proposal Security shall be required, the amount and currency of the Proposal Security shall be ***[If a Proposal Security is required, insert amount and currency of the Proposal Security. Otherwise insert “Not Applicable”.]******[In case of lots, please insert amount and currency of the Proposal Security for each lot]******[Note: Proposal Security is required for each lot as per amounts indicated against each lot. Proposers have the option of submitting one Proposal Security for all lots (for the combined total amount of all lots) for which Proposals have been submitted, however if the amount of Proposal Security is less than the total required amount, the Employer will determine for which lot or lots the Proposal Security amount shall be applied.]******[The following provision should be included and the required corresponding information inserted only if a Proposal security is not required under provision ITP 32.1 and the Employer wishes to declare the Proposer ineligible for a period of time should the Proposer performs the actions mentioned in provision ITP 32.9. Otherwise omit.]***If the Proposer performs any of the actions prescribed in subparagraphs (a) or (b) of this provision, the Borrower will declare the Proposer ineligible to be awarded contracts by the Employer for a period of \_\_\_\_\_\_ years ***[insert period of time]***, starting from the date the Proposer performs any of the actions specified in ITP32.9 (a) or (b.) |
| **ITP 32.3 (d)** | Other types of acceptable securities: ***[Insert names of other acceptable securities. Insert “None” if no Proposal Security is required under provision ITP 32.1 or if Proposal Security is required but no other forms of Proposal securities besides those listed in ITP 32.3 (a) through (c) are acceptable*.*]*** |
| **ITP 33.3** | The Proposal price shall be adjusted by the following factor(s): \_\_\_\_\_\_\_\_ ***[The local currency portion of the Contract price shall be adjusted by a factor reflecting local inflation during the period of extension, and the foreign currency portion of the Contract price shall be adjusted by a factor reflecting the international inflation (in the country of the foreign currency) during the period of extension.]*** |
| **ITP 43.2** | The technical factors (sub-factors) and the corresponding weight out of 100% are:

|  |  |
| --- | --- |
| *Technical Factor* | *weight in percentage**(insert weight in %)* |
| 1. *to what extent the proposed Works meet or exceed the Employer’s Requirements*
 |  |
| 1. *Design Methodology;*
 |  |
| 1. *Method Statements for construction activities;*
 |  |
| 1. *Code of Conduct*
 |  |
| 1. *Completion Schedule*
 |  |
| 1. *Site organization, team composition, qualfifications and experience of Contractor’s Personnel*
 |  |
| 1. *Key Equipment Strategy*
 |  |
| *…* |  |
| *[The above are proposed headings. Expand as appropriate to enable evaluation. Modify and/or add any other factors as appropriate]* |  |

*[The above technical factors may be modified as appropriate to ensure that the documents requested from Proposers as part of their technical proposals (Section IV) enable evaluation of the technical factors.]* *[****The weights should be allocated in terms of the relative significance of the technical factors.*** *To enable evaluation of the technical factors, insert technical sub-factors consistent with the expectation and corresponding weights, as appropriate].* |
| **ITP 45.1** | The Letter of Proposal and Price Schedules shallbe initialed by ***[insert number]*** representatives of the Employer conducting Proposal opening*.* ***[Insert procedure: Example: Each Proposal shall be numbered and any modification to the unit or total price shall be initialed by the Representative of the Employer, etc.]*** |
| **ITP 49.1** | The currency that shall be used for Proposal evaluation and comparison purposes to convert, at the selling exchange rate, all Proposal prices expressed in various currencies into a single currency is: ***[Insert name of currency]***The source of exchange rate shall be: \_\_\_\_\_\_\_\_ ***[Insert name of the source of exchange rates (e.g., the Central Bank in the Employer’s Country).]***The date for the exchange rate shall be the deadline for submission of Second Stage Proposals as specified in **ITP 36**, unless otherwise specified by the Employer. The currency(ies) of the Proposal shall be converted into a single currency in accordance with the procedure under Alternative \_\_\_\_\_ that follows: ***Alternative A: Proposers quote entirely in local currency***For comparison of Proposals, the Proposal Price, corrected pursuant to **ITP 48.1,** shall first be broken down into the respective amounts payable in various currencies by using the selling exchange rates specified by the Proposer in accordance with **ITP 31.1.**In the second step, the Employer will convert the amounts in various currencies in which the Proposal Price is payable (excluding Provisional Sums but including Daywork where priced competitively) to the single currency identified above at the selling rates established for similar transactions by the authority specified and on the date stipulated above.***OR******Alternative B: Proposers quote in local and foreign currencies***The Employer will convert the amounts in various currencies in which the proposal Price, corrected pursuant to **ITP 48.1**, is payable (excluding Provisional Sums but including Daywork where priced competitively) to the single currency identified above at the selling rates established for similar transactions by the authority specified and on the date stipulated above.  |
| **ITP 50.1** | ***[The following provision should be included and the required corresponding information inserted only if the Employer intends to apply margin of preference and it is allowed in the Procurement Plan for the subject contract. Otherwise delete]***A margin of domestic preference ***[insert* *either “shall” or “shall not”]*** *\_\_\_\_\_\_\_\_\_*apply. ***[If a margin of preference applies, the application methodology shall be defined in Section III – Evaluation and Qualification Criteria.]*** |
| **ITP 51.1 (f)** | The adjustments shall be determined using the following criteria as detailed in Section III: 1. Deviation in Time Schedule: *[insert Yes or No. If yes insert the adjustment factor in Section III, Evaluation and Qualification Criteria];*
2. Life cycle costs: the projected operating and maintenance costs for the Works *[insert Yes or No. If yes, insert the Methodology and criteria in Section III, Evaluation and Qualification Criteria]; and*
3. *[insert any other specific criteria here and provide details in Section III, Evaluation and Qualification Criteria]*
 |
| **ITP 54.1** | The weight to be given for cost is: \_\_\_\_\_\_\_\_ *[indicate weight for cost such that weight for cost plus weight for total technical score is 1(one).]* |
| **ITP 55.1** | BAFO ( “applies” / “does not apply”)If BAFO applies, the procedure will be: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **ITP 57.1** | Negotiation ( “applies” / “does not apply”)If negotiation applies, the procedure will be: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **ITP 64.1** | The successful Proposer [*shall] or [shall not]* submit the Beneficial Ownership Disclosure Form. |
| **ITP 65.1 and 65.2** | ***[Delete the following if not applicable]***The successful Proposer shall be required to submit an Environmental and Social (ES ) Performance Security.*[The ES Performance Security shall normally be required where ES risks are high.]* |
| **ITP 66.1** | The procedures for making a Procurement-related Complaint are detailed in the “[Procurement Regulations for IPF Borrowers](http://www.worldbank.org/en/projects-operations/products-and-services/brief/procurement-new-framework) (Annex III).” If a Proposer wishes to make a Procurement-related Complaint, the Proposer shall submit its complaint following these procedures, In Writing (by the quickest means available, such as by email or fax), to:**For the attention**: *[insert full name of person receiving complaints]***Title/position**: *[insert title/position]***Employer:** *[insert name of Employer]***Email address***: [insert email address]***Fax number**: *[insert fax number]* ***delete if not used***In summary, a Procurement-related Complaint may challenge any of the following:1. the terms of this RFP document;
2. the Employer’s decision to exclude a Proposer from the procurement process prior to the award of contract; and
3. the Employer’s decision to award the contract.
 |

Section III. Evaluation and Qualification Criteria

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First Stage Technical Proposals

1. Evaluation (ITP 24.1 (g))

In addition to the criteria listed in ITP 24.1 (a) – (f) the following factors shall apply:

2. Qualification

**2.1 Update of Information**

The Proposer and any subcontractors shall meet or continue to meet the criteria used at the time of initial selection.

**2.2 Financial Resources**

Using the relevant Form No FIN 3.3 in Section IV, Proposal Forms, the Proposer must demonstrate access to, or availability of, financial resources such as liquid assets, unencumbered real assets, lines of credit, and other financial means, other than any contractual advance payments to meet:

(i) the following cash-flow requirement:

and

(ii) the overall cash flow requirements for this contract and its current works commitment.

**2.3 Contractor’s Representative and Key Personnel**

The Proposer must demonstrate that it will have a suitably qualified Contractor’s Representative and suitably qualified (and in adequate numbers) minimum Key Personnel, as described in the Employer’s Requirements.

The Proposer shall provide details of the Contractor’s Representative and Key Personnel and such other Key Personnel that the Proposer considers appropriate, together with their academic qualifications and work experience. The Proposer shall complete the relevant Forms in Section IV, Proposal Forms.

**2.4 Equipment**

The Proposer shall provide its strategy for acquiring and maintaining the key equipment that may be needed to execute the Works in accordance with the Work Program.

The Proposer shall provide details in the relevant Form in Section IV.

**2.5 Subcontractors**

Any Specialized Sub-contractor identified at the time of Initial Selection shall continue to meet the applicable requirements.

Any other additional subcontractors for the following major activities/ subactivities must meet the following minimum criteria:

|  |  |  |
| --- | --- | --- |
| **[Activity/Subactivity No.]** | **Description of Item** | **Minimum Criteria to be met** |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| … |  |  |
|  |  |  |

Second Stage Financial and Technical Proposals

Evaluation of Technical Part (ITP 43)

The technical factors, and sub factors if any, to be evaluated and the scores to be given to each technical factor and sub factors are specified **in the PDS ITP 43.2**.

***TECHNICAL PROPOSAL SCORING METHOLOGY***

*[****NOTE TO THE EMPLOYER****: The Employer shall develop a scoring methodology to be included here] The following is only an example and can be modified to fit the purpose:]*

|  |  |  |
| --- | --- | --- |
| *Score (of the total score for the factor/subfactor as applicable)* | *Description* | *Remarks* |
| *0-15%* | *Required feature is absent; no relevant information to demonstrate how the requirement is met* |  |
| *16-49%* | *Required feature present with deficiencies such as insufficient or information that lacks clarity* |  |
| *50-79%* | *Sufficient information to demonstrate how the requirement will be met* |  |
| *80-89%* | *Sufficient information to demonstrate that the requirement will be marginally exceeded* |  |
| *90-100* | *Sufficient information that significantly exceed the requirement/proposal contributes to significant value addition* |  |

*If as per* ***ITP 43.2****, the technical factors (and sub- factors, if applicable) are weighted in terms of relevance, the total technical score would be the weighted average in percent.*

The score for each sub- factor (i) within a factor (j) will be combined with the scores of sub- factors in the same factor as a weighted sum to form the Factor Technical Score using the following formula:



where:

*tji* = the technical score for sub- factor “i” in factor “j”

*wji* = the weight of sub- factor “i” in factor “j”,

*k* = the number of scored sub-factors in factor “j”

and 

The Factor Technical Scores will be combined in a weighted sum to form the total Technical Proposal Score using the following formula:



where:

*Sj* = the Factor Technical Score of factor “j”

*Wj* = the weight of factor “j” as specified in the PDS

*n* = the number of Factors

and 

Margin of Preference

**If the PDS so specifies,** the Employer will grant a margin of preference of 7.5% (seven and one-half percent) to domestic contractors, in accordance with, and subject to, the following provisions:

(a) Contractors applying for such preference shall be asked to provide, as part of the data for qualification, such information, including details of ownership, as shall be required to determine whether, according to the classification established by the Borrower and accepted by the Bank, a particular contractor or group of contractors qualifies for a domestic preference. The request for proposals document shall clearly indicate the preference and the method that will be followed in the evaluation and comparison of Proposals to give effect to such preference.

(b) After Proposals have been received and reviewed by the Employer, responsive Proposals shall be classified into the following groups:

(i) Group A: Proposals offered by domestic contractors eligible for the preference.

(ii) Group B: Proposals offered by other contractors.

All evaluated Proposals in each group shall, as a first evaluation step, be compared to determine the Most Advantageous Proposal, and the most advantageous proposal in each group shall be further compared with each other. If a result of this comparison, a Proposal from Group A is the Most Advantageous Proposal, it shall be selected for the award, if the Proposer is qualified. If a Proposal from Group B is the Most Advantageous Proposal, as a second evaluation step, all Proposals from Group B shall then be further compared with the Most Advantageous Proposal from Group A. For the purpose of this further comparison only, an amount equal to 7.5% (seven and one-half percent) of the respective proposal price corrected for arithmetical errors, including unconditional discounts but excluding provisional sums and the cost of day works, if any, shall be added to the evaluated cost offered in each Proposal from Group B. If the Proposal from Group A is the Most Advantageous Proposal, it shall be selected for award. If not, the Most Advantageous Proposal from Group B based on the first evaluation step shall be selected.

Evaluation of Financial Part (ITP 51.1(f) )

The following factors and methods will apply:***[use one or more of the following adjustment factors consistent with ITP 51.1 (f) of the PDS]***

#### Time Schedule

Time for completion of the Works from the Commencment Date shall be as specified in the Particular Conditions Part A-Contract Data Sub-clause 1.1.86. No credit will be given for earlier completion.No credit will be given for earlier completion.

**Or**

Time to complete the Works from the from the Commencment Date shall be between \_\_\_\_\_\_\_\_\_\_\_\_ minimum and \_\_\_\_\_\_\_\_\_\_\_\_ maximum. The adjustment rate in the event of completion beyond the minimum period shall be \_\_\_\_\_\_\_ (%) for each week of delay from that minimum period. No credit will be given for completion earlier than the minimum designated period. Proposals offering a completion date beyond the maximum designated period shall be rejected.

#### Life Cycle Costs

*[Life cycle costing should be used when the costs of operation and/or maintenance over the specified life of the Works are estimated to be considerable in comparison with the initial cost and may vary among different Proposals. It shall be evaluated on a net present value basis****.*** If ***life*** *cycle costing is to be applied for proposal evaluation, the Employer shall specify the relevant information on its application here:]*

*[State either life cycle costing “shall” or “shall not apply”. If life cycle costing applies for proposal evaluation, the methodology and the information expected from Proposers shall be specified]*

The factors for calculation of the life cycle cost are:

* + - 1. number of years for life cycle*: \_\_\_\_[Insert number of years],*
			2. operating costs *[state how they will be determined],*
			3. maintenance costs, including the cost of spare parts for the initial period of operation *[state how they will be determined],* and
			4. Discount rate: \_\_\_\_\_\_\_\_*[insert discount rate in percent]* to be used to discount to present value all annual future costs calculated under (ii) and (iii) above for the period specified in (i).

#### Specific additional criteria

The relevant evaluation method, if any, shall be as follows:

Any adjustments in price that result from the above procedures shall be added, for purposes of comparative evaluation only, to arrive at an “Evaluated Proposal Cost (C).”

#### Multiple Contracts (ITP 51.3)

*If not applicable state ‘Not Applicable’*

If in accordance with **ITP 1.1**, Proposals are invited for more than one lot, the contract will be awarded to the Proposer or Proposers with the Most Advanageous Proposal for the individual lots.

However, if a Proposer, with Proposals that are substantially responsive and with highest evaluated score for individual lots, is not qualified for the combination of the lots, then the award will be made based on the highest total score for combination of lots for which Proposers are qualified.

*[Note - Example of the above scenario: A Proposer who was initially selected for either Lot A or Lot B but not both submits Proposals for Lots A and B. These two Proposals are substantially responsive and get the highest total score for Lot A and Lot B respectively. In such a case, a decision has to be made on whether this Proposer should be awarded Lot A or Lot B by considering the combined scores of Proposers for Lot A and Lot B.]*

**Cross discounts for award of multiple lots will not be considered.**

#### Specific additional criteria

The relevant evaluation method, if any, shall be as follows:

Combined Evaluation (ITP 54)

The Employer will evaluate and compare the Proposals that have been determined to be substantially responsive.

An Evaluated Proposal Score (B) will be calculated for each responsive Proposal using the following formula, which permits a comprehensive assessment of the evaluated cost and the technical merits of each Proposal:

$$B=\frac{C\_{low}}{C}\*X\*100+\frac{T}{T\_{high}}\*\left(1-X\right)\*100$$

where

*C* = Evaluated Proposal Cost

*C low* = the lowest of all Evaluated Proposal Cost among responsive Proposals

*T* = the total Technical Score awarded to the Proposal

*Thigh* = the Technical Score achieved by the Proposal that was scored best among all responsive Proposals

*X* = weight for Cost as specified in the PDS

The Proposal with the best evaluated Proposal Score (B) among responsive Proposals shall be the Most Advantageous Proposal provided the Proposer is qualified to perform the Contract.

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Proposal Forms

Letter of First Stage Proposal

 Date: *[Proposer insert:* ***date of Proposal****]*

 Loan/Credit No.: *[Employer insert:* ***number****]*

 RFP: *[Employer insert:* ***RFP name and number****]*

 Contract: *[Employer insert:* ***name of Contract****]*

To: *[Employer insert:* ***name and address of Employer****]*

Dear Sir or Madam:

Having examined the request for proposal (RFP) document, including Addenda Nos. *[Insert* ***numbers****]*, the receipt of which is hereby acknowledged, we, the undersigned, offer to \_\_\_\_\_\_\_\_\_\_\_\_\_\_, in conformity with the RFP document, the following Works:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

We confirm that if you invite us to attend a Clarification Meeting(s) for the purpose of reviewing our First Stage Proposal at a place and date of your choice, we will endeavor to attend this/these meeting(s) at our own cost, and will duly note the amendments and additions to, and omissions from, our First Stage Proposal that you may require. We accept that we alone carry any risk for failing to reach clarification of our Proposal in case this failure is due to our inability to attend duly scheduled Clarification Meeting(s).

We undertake, upon receiving your written invitation, to proceed with the preparation of our Second Stage Proposal, updating the First Stage Proposal in accordance with the requirements, if any, specified in (a), the memorandum, specific for our First Stage Proposal, titled “Changes Required Pursuant to First Stage Evaluation” and any updates to this memorandum, and (b), Addenda to the RFP document issued together or after the invitation for the second stage. The Second Stage Proposal will also include our commercial Proposal in accordance with the requirements of the RFP Documents for second stage Proposals, for performing the Works in accordance with our updated technical Proposal.

We hereby certify that we meet the eligibility requirements and have no conflict of interest in accordance with **ITP 4**.

**Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment (SH):** *[select the appropriate option from (i) to (v) below and delete the others].*

We *[where JV, insert: “including any of our JV members”],* and any of our subcontractors:

1. [have not been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations.]
2. [are subject to disqualification by the Bank for non-compliance with SEA/ SH obligations.]
3. [had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations. An arbitral award on the disqualification case has been made in our favor.]
4. [had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations for a period of two years. We have subsequently provided and demonstrated that we have adequate capacity and commitment to comply with SEA and SH prevention and response obligations.]
5. [had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations for a period of two years. We have attached documents demonstrating that we have adequate capacity and commitment to comply with SEA and SH prevention and response obligations.]

We, along with any of our subcontractors, suppliers, consultants, manufacturers, or service providers for any part of the contract, are not subject to, and not controlled by any entity or individual that is subject to, a temporary suspension or a debarment imposed by the World Bank Group or a debarment imposed by the World Bank Group in accordance with the Agreement for Mutual Enforcement of Debarment Decisions between the World Bank and other development banks. Further, we are not ineligible under the Employer’s Country laws or official regulations or pursuant to a decision of the United Nations Security Council;

We hereby certify that we have taken steps to ensure that no person acting for us or on our behalf engages in any type of Fraud and Corruption.

State-owned enterprise or institution: *[select the appropriate option and delete the other] [We are not a state-owned enterprise or institution] / [We are a state-owned enterprise or institution but meet the requirements of* ***ITP 4.6****]*;

We agree to abide by this First Stage Proposal, which, in accordance with **ITP 12**, consists of this letter (First Stage Proposal Form) and the enclosures listed below. Together with the above written undertakings, the Proposal shall remain binding on us. We understand that we may withdraw our Proposal, or any alternative Proposal included in it, at any time by so notifying you in writing. However, we accept that if invited to the second stage, once we have submitted a Second Stage Proposal, this Proposal (and the parts of the First Stage Proposals it includes and updates) can only be withdrawn before the deadline for submission of Second Stage Proposals, and only by the formal Second Stage Proposal withdrawal procedure stipulated in the RFP Documents.

**Name of the Proposer**: *\*[insert complete name of the Proposer]*

**Name of the person duly authorized to sign the Proposal on behalf of the Proposer**: \*\* *[insert complete name of person duly authorized to sign the Proposal]*

**Title of the person signing the Proposal**: *[insert complete title of the person signing the Proposal]*

**Signature of the person named above**: *[insert signature of person whose name and capacity are shown above]*

**Date signed** *[insert date of signing]* **day of** *[insert month]*, *[insert year]*

ENCLOSURE(S):

Letter of Second Stage Proposal - Technical Part

*INSTRUCTIONS TO PROPOSERS*

|  |
| --- |
| *INSTRUCTIONS TO PROPOSERS: DELETE THIS BOX ONCE YOU HAVE COMPLETED THE DOCUMENT**Place this Letter of Proposal in the first envelope “TECHNICAL PART”.**The Proposer must prepare the Letter of Proposal on stationery with its letterhead clearly showing the Proposer’s complete name and business address.**Note: All italicized text in black font is to help Proposers in preparing this form and Proposers shall delete it from the final document.* |

**Date of this Proposal submission**: *[insert date (as day, month and year) of Proposal submission]*

**RFP No.:** *[insert number of RFP process]*

**Request for Proposal No.**: *[insert identification]*

**Alternative No.**: *[insert identification No if this is a Proposal for an alternative]*

To: *[Employer insert:* ***name and address of Employer****]*

Dear Sir or Madam:

We, the undersigned Proposer, hereby submit our Proposal, in two parts, namely:

1. the Technical Part, and
2. The Financial Part.

Having examined the RFP Documents, the Addenda issued during the first stage, Addenda Nos. *[insert:* ***numbers****]* issued with or after the Request for Proposals – Second Stage, the receipt of which is hereby acknowledged, as well as the requirements listed in the memorandum titled “Changes Required Pursuant to First Stage Evaluation” specific to our First Stage Proposal, and any updates to this memorandum, we, the undersigned, offer to \_\_\_\_\_\_\_\_\_, in full conformity with the said RFP Documents, Addenda and memorandum.

We undertake, if our Proposal is accepted, to commence the Works and achieve Completion within the respective times stated in the RFP Documents.

We hereby certify that we, including any subcontractors for any part of the contract, meet the eligibility requirements and have no conflict of interest in accordance with **ITP 4.**

**Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment (SH):** *[select the appropriate option from (i) to (v) below and delete the others].*

We *[where JV, insert: “including any of our JV members”],* and any of our subcontractors:

1. [have not been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations.]
2. [are subject to disqualification by the Bank for non-compliance with SEA/ SH obligations.]
3. [had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations. An arbitral award on the disqualification case has been made in our favor.]
4. [had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations for a period of two years. We have subsequently provided and demonstrated that we have adequate capacity and commitment to comply with SEA and SH prevention and response obligations.]
5. [had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations for a period of two years. We have attached documents demonstrating that we have adequate capacity and commitment to comply with SEA and SH prevention and response obligations.]

We, along with any of our subcontractors, suppliers, consultants, manufacturers, or service providers for any part of the contract, are not subject to, and not controlled by any entity or individual that is subject to, a temporary suspension or a debarment imposed by the World Bank Group or a debarment imposed by the World Bank Group in accordance with the Agreement for Mutual Enforcement of Debarment Decisions between the World Bank and other development banks. Further, we are not ineligible under the Employer’s Country laws or official regulations or pursuant to a decision of the United Nations Security Council;

We hereby certify that we have taken steps to ensure that no person acting for us or on our behalf engages in any type of Fraud and Corruption.

State-owned enterprise or institution: *[select the appropriate option and delete the other] [We are not a state-owned enterprise or institution] / [We are a state-owned enterprise or institution but meet the requirements of* ***ITP 4.6****]*;

**Potential DAAB Members:** We hereby propose the following three persons, whose curriculum vitae are attached, as potential DAAB members:

|  |  |
| --- | --- |
| Name | Address |
| * + - 1. …………
 |  |
| * + - 1. …………
 |  |
| * + - 1. …………
 |  |

We agree to abide by this Proposal, which, in accordance with **ITP 28** and **ITP 29**, consists of this letter (Second Stage Technical Part) and enclosures until *[ insert day, month and year in accordance with ITP 33.1],* and it shall remain binding upon us and may be accepted by you at any time on or before this date.

Until the formal final Contract is prepared and executed between us, this Proposal, together with your written acceptance thereof included in your Letter of Acceptance, shall constitute a binding contract between us.

**Name of the Proposer**: *\*[insert complete name of the Proposer]*

**Name of the person duly authorized to sign the Proposal on behalf of the Proposer**:
\*\* *[insert complete name of person duly authorized to sign the Proposal]*

**Title of the person signing the Proposal**: *[insert complete title of the person signing the Proposal]*

**Signature of the person named above**: *[insert signature of person whose name and capacity are shown above]*

**Date signed** *[insert date of signing]* **day of** *[insert month]*, *[insert year]*

\*: In the case of the Proposal submitted by a Joint Venture specify the name of the Joint Venture as Proposer.

\*\*: Person signing the Proposal shall have the power of attorney given by the Proposer. The power of attorney shall be attached with the Proposal Schedules.

ENCLOSURE(S):

Letter of Second Stage Proposal - Financial Part

*INSTRUCTIONS TO PROPOSERS*

|  |
| --- |
| *INSTRUCTIONS TO PROPOSERS: DELETE THIS BOX ONCE YOU HAVE COMPLETED THE DOCUMENT**Place this Letter of Proposal in the second envelope “FINANCIAL PART”.**The Proposer must prepare the Letter of Proposal on stationery with its letterhead clearly showing the Proposer’s complete name and business address.**Note: All italicized text in black font is to help Proposers in preparing this form and Proposers shall delete it from the final document.* |

**Date of this Proposal submission**: *[insert date (as day, month and year) of Proposal submission]*

**RFP No.:** *[insert number of RFP process]*

**Request for Proposal No.**: *[insert identification]*

**Alternative No.**: *[insert identification No if this is a Proposal for an alternative]*

To: *[Employer insert:* ***name and address of Employer****]*

Dear Sir or Madam:

We, the undersigned Proposer, hereby submit the second part of our Proposal, the Financial Part

Having examined the RFP Documents, the Addenda issued during the first stage, Addenda Nos. *[insert:* ***numbers****]* issued with or after the Request for Proposals – Second Stage, the receipt of which is hereby acknowledged, as well as the requirements listed in the memorandum titled “Changes Required Pursuant to First Stage Evaluation” specific to our First Stage Proposal, and any updates to this memorandum, we, the undersigned, offer to \_\_\_\_\_\_\_\_\_, in full conformity with the said RFP Documents, Addenda and memorandum for the total Proposal Price, excluding any discounts offered as follows:

*[Insert one of the options below as appropriate]*

Option 1, in case of one lot: Total price: *[insert the total price of the Proposal in words and figures, indicating the various amounts and the respective currencies]*;

Or

Option 2, in case of multiple lots: (a) Total price of each lot *[insert the total price of each lot in words and figures, indicating the various amounts and the respective currencies]*; and (b) Total price of all lots (sum of all lots) *[insert the total price of all lots in words and figures, indicating the various amounts and the respective currencies]*;

The discounts offered and the methodology for their application is:

(i) The discounts offered are: *[Specify in detail each discount offered]*

(ii) The exact method of calculations to determine the net price after application of discounts is shown below: *[Specify in detail the method that shall be used to apply the discounts]*;

If our Proposal is accepted, we undertake to provide an advance payment security, and a Performance Security *[and an Environmental and Social (ES ) Performance Security.* ***Delete if not applicable****]* in the forms, in the amounts, and within the times specified in the RFP Documents.

We agree to abide by this Proposal, which, in accordance with **ITP 28** and **ITP 29**, consists of this letter (Second Stage Proposal Form) and the enclosures listed below, until [ insert day, month and year in accordance with ITP 33.1], and it shall remain binding upon us and may be accepted by you at any time on or before this date.

**Commissions, gratuities and fees:** We have paid, or will pay the following commissions, gratuities, or fees with respect to the RFP process or execution of the Contract: *[insert complete name of each Recipient, its full address, the reason for which each commission or gratuity was paid and the amount and currency of each such commission or gratuity]*.

|  |  |  |  |
| --- | --- | --- | --- |
| Name of Recipient | Address | Reason | Amount |
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(If none has been paid or is to be paid, indicate “none.”)

Until the formal final Contract is prepared and executed between us, this Proposal, together with your written acceptance thereof included in your Letter of Acceptance, shall constitute a binding contract between us.

**Name of the Proposer**:\**[insert complete name of the Proposer]*

**Name of the person duly authorized to sign the Proposal on behalf of the Proposer**:
\*\* *[insert complete name of person duly authorized to sign the Proposal]*

**Title of the person signing the Proposal**: *[insert complete title of the person signing the Proposal]*

**Signature of the person named above**: *[insert signature of person whose name and capacity are shown above]*

**Date signed** *[insert date of signing]* **day of** *[insert month]*, *[insert year]*

\*: In the case of the Proposal submitted by a Joint Venture specify the name of the Joint Venture as Proposer.

\*\*: Person signing the Proposal shall have the power of attorney given by the Proposer. The power of attorney shall be attached with the Proposal Schedules.

ENCLOSURE(S):

Appendix to Proposal

Schedule of Cost Indexation

*[****Note to Employer:*** *It is recommended that the Employer is advised by a professional with experience in construction costs and the inflationary effect on construction costs when preparing the contents of the Schedule of Cost Indexation. In the case of very large and/or complex works contracts, it may be necessary to specify several families of price adjustment formulae corresponding to the different works involved].* ***As applicable, include seperate Schedules of Cost Indexation to apply for prices based on the Schedule of Rates and Prices and the Schedule of Priced Activities respectively. When finalizing the contract document, ensure that the finalized Schedule of Cost Indexation is attached to the Contract Agreement.****]*

*[The formulae for price adjustment shall be of the following general type:]*

If in accordance with GC 13.7, prices shall be adjustable, the following method shall be used to calculate the price adjustment:

Prices payable to the Contractor, in accordance with the Contract, shall be subject to adjustment during performance of the Contract to reflect changes in the cost of labor and material components, in accordance with the following formula:

**Pn= a + b Ln / Lo + c En/ Eo + d Mn/Mo + ........**

*where:*

 “Pn” is the adjustment multiplier to be applied to the estimated contract value in the relevant currency of the work carried out in period “n”, this period being a month unless otherwise stated in the Contract Data;

“a” is a fixed coefficient, stated in the relevant table of adjustment data, representing the non-adjustable portion in contractual payments;

“b”, “c”, “d”, ... are coefficients representing the estimated proportion of each cost element related to the execution of the Works as stated in the relevant table of adjustment data; such tabulated cost elements may be indicative of resources such as labour, equipment and materials;

“Ln”, “En”, “Mn”, ... are the current cost indices or reference prices for period “n”, expressed in the relevant currency of payment, each of which is applicable to the relevant tabulated cost element on the date 49 days prior to the last day of the period (to which the particular Payment Certificate relates); and

“Lo”, “Eo”, “Mo”, ... are the base cost indices or reference prices, expressed in the relevant currency of payment, each of which is applicable to the relevant tabulated cost element on the Base Date.

The cost indices or reference prices stated in the Table of Adjustment Data shall be used. If their source is in doubt, it shall be determined by the Engineer. For this purpose, reference shall be made to the values of the indices at stated dates (quoted in the fourth and fifth columns respectively of the table).

If the currency in which the Contract price is expressed is different from the currency of the country of origin of the labour and/or materials indices, a correction factor will be applied to avoid incorrect adjustments of the Contract price. The correction factor shall be: Z0 / Z1, where,

Z0  = the number of units of currency of the origin of the indices which equal to one unit of the currency of the Contract Price on the Base date, and

Z1 = the number of units of currency of the origin of the indices which equal to one unit of the currency of the Contract Price on the Date of Adjustment.

Table of Adjustment Data

*[****As applicable, include seperate tables to apply for prices based on the Schedule of Rates and Prices and the Schedule of Priced Activities respectively. ]***

*[In Tables A, B, and C, below, the Proposer shall (a) indicate its amount of local currency payment, (b) indicate its proposed source and base values of indices for the different foreign currency elements of cost, (c) derive its proposed weightings for local and foreign currency payment, and (d) list the exchange rates used in the currency conversion. In the case of very large and/or complex works contracts, it may be necessary to specify several families of price adjustment formulae corresponding to the different works involved.]*

Table A. Local Currency

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Index code\*** | **Index description\*** | **Source of index\*** | **Base value and date\*** | **Proposer’s related currency amount** | **Proposer’s proposed weighting** |
|  | Nonadjustable | — | — | — | a: \*b: \*c: \*d: \*e: \* |
|  |  |  | **Total** |  | **1.00** |

*[\* To be entered by the Employer. Whereas “a” should a fixed percentage, b, c, d and e should specify a range of values and the Proposer will be required to specify a value within the range such that the total weighting = 1.00]*

Table B. Foreign Currency (FC)

**State type:**  *[If the Proposer is allowed to receive payment in foreign currencies this table shall be used. If Proposer wishes to quote in more than one foreign currency (up to three currencies permitted) then this table should be repeated for each foreign currency.]*

| **Index code** | **Index description** | **Source of index** | **Base value and date** | **Proposer’s related source currency in type/amount** | **Equivalent in FC1** | **Proposer’s proposed weighting** |
| --- | --- | --- | --- | --- | --- | --- |
|  | Nonadjustable | **—** | **—** | **—** |  | **a: \*****b: \*****c: \*****d: \*****e: \*** |
|  |  |  |  | **Total** |  | **1.00** |

*[\* To be entered by the Employer. Whereas “a” should a fixed percentage, b, c, d and e should specify a range of values and the Proposer will be required to specify a value within the range such that the total weighting = 1.00]*

Table C. Summary of Payment Currencies

**Table: Alternative A**

**For**  *[insert name of Section of the Works]*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of payment currency** | **A****Amount of currency** | **B****Rate of exchange****(local currency per unit of foreign)** | **C****Local currency equivalent****C = A x B** | **D****Percentage of Total Proposal Price (TPP)****100xC****TPP** |
| **Local currency** |  | **1.00** |  |  |
| **Foreign currency #1** |  |  |  |  |
| **Foreign currency #2** |  |  |  |  |
| **Foreign currency #** |  |  |  |  |
| **Total Proposal Price** |  |  |  | **100.00** |
| **Provisional sums expressed in local currency** | *[To be entered by the Employer]* |  | *[To be entered by the Employer]* |  |
|  |  |  |  |  |
| **TOTAL PROPOSAL PRICE (including provisional sum)** |  |  |  |  |

**Table: Alternative B**

***[To be used only with Alternative B Prices directly quoted in the currencies of payment. (ITP 31.1)]***

Summary of currencies of the Proposal for *[insert name of Section of the Works]*

|  |  |
| --- | --- |
| *Name of currency* | *Amounts payable* |
| Local currency:  |  |
| Foreign currency #1:  |  |
| Foreign currency #2:  |  |
| Foreign currency #3:  |  |
| Provisional sums expressed in local currency  | *[To be entered by the Employer]* |
|  |  |

Schedule of Priced Activities and Sub-activities

*[See ITP 30.1 of the Proposal Data Sheet if any adaptation is needed to the text below]*

Unless stated otherwise in the Contract, consistent with Sub-Clause 13.8, with the exception of the Excavation and Lining works paid on the basis of BoQ and subject to measurement, the total of the prices of the activities in the Schedule of Priced Activities is the Proposer’s offer to execute the Works.

The price of any activity or sub-activity that the Proposer may have omitted is deemed to be included in the price of other activities or sub-activities in the Schedule of Priced Activities and Sub-activities and will not be paid for separately by the Employer.

Sample Schedule of Priced Activities Table

*[To be completed by the Proposer (more tables to be used by the Proposer as appropriate)]*

|  |  |  |
| --- | --- | --- |
| Activity No. | Description of Activity | Activity Price |
| 1. | *---* |  |
|  |  |  |
| 2. | *---* |  |
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| 3. | *---* |  |
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| 4. |  *---* |  |
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|  | Total price of Activities carried forward to Grand Summary, Page \_\_\_\_ |  |

Sample Schedule of Priced Sub-activities Table

*[to be completed by the Proposer (more tables to be used by the proposer as appropriate)]*

Activity: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |
| --- | --- | --- |
| Sub-activity No. | Description of Sub-activity | Sub-activity Price |
| 1. | …………….. |  |
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| 2. | ……………… |  |
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| 3. | ……………… |  |
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| 4. |  ……………… |  |
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|  | Total price of Sub-activities carried forward to the Priced Activity Schedule, Page \_\_\_\_ |  |

Schedule of Rates and Prices

***These Notes for Preparing a Bill of Quantities are intended only as information for the Employer or the team drafting the request for proposals document. They should not be included in the final RFP documents.***

*[In accordance with GC Sub-Clauses 14.1 and 13.8, the subsurface items of work shall be remunerated through remeasurement.*

*In accordance with GC Sub-Clause 13.8.2, the Bill of Quantities sets out the quantities, units of measurement and applicable unit rates and prices for all* *Excavation and Lining Works.*

*The Schedule of Rates and Prices should include a Bill of Quantities (BoQ) structured as follows: (i) initial quantities shall be determined by the Employer, consistent with the Employer’s reference design, the Geotechnical Baseline Report (GBR) and the Schedule of Baselines, at a level of detail sufficient to enable the Proposer to establish unit rates or prices for each activity or, if agreed, group of activities; and (ii) the Proposer completes the BoQ by inserting its unit rates and prices.*

*In accordance with the GC Sub-Clause 13.8.2 , the BoQ for the Excavation and Lining Works shall include fixed rate items, time-related rate items and quantity related rate items as follows:*

1. ***fixed rate items****: lump sum or unit prices for, as appropriate, the provision of Contractor’s Equipment, facilities, and supervision, facilities and services required by the Employer’s Personnel, fees for relevant Contractor’s overhead charges, and the maintenance of such provisions for the relevant section of the Excavation and Lining Works for the period necessary according to the Completion Schedule;*
2. ***time-related rate items****: for, as appropriate, the extended or reduced availability and maintenance of the fixed rate items in a) above, expressed, unless otherwise specified, in units for an extension or reduction for a calendar day;*
3. ***quantity- related rate items****: for the Excavation and Lining Works, and Plant supply and installation for the relevant portion of the Works such as unit prices for preliminary ground treatment, excavation, support and final lining items, lump sum for other items;*
4. ***value-related charges:*** *unless provided otherwise in the Contract, value-related charges for compliance with the contractual provisions such as, without limitation, insurance, securities, permits and levies for the relevant portion of the Excavation and Lining Works; included as percentage additions in the rates described in a), b) and c) above.*

*The BoQ shall be based on and consistent with the Employer’s reference design.]*

Sample Bill of Quantities- Excavation and Lining Works

**A. Preamble**

1. The Bill of Quantities for the Excavation and Lining Works shall be read in conjunction with the Instructions to Proposers, General and Particular Conditions, Technical Specifications, Drawings and other relevant provisions of the RFP.
2. The quantities given in the Bill of Quantities are estimated and provisional, and are given to provide a common basis for the proposals. The basis of payment will be the actual quantities of work carried out, as measured by the Contractor and verified by the Engineer and valued at the rates and prices proposed in the priced Bill of Quantities, where applicable, and otherwise at such rates and prices as the Engineer may fix within the terms of the Contract.
3. The rates and prices proposed in the priced Bill of Quantities shall, except insofar as it is otherwise provided under the Contract, include all Constructional Plant, labour, supervision, materials, erection, maintenance, insurance, profit, taxes, and duties, together with all general risks, liabilities, and obligations set out or implied in the Contract.
4. A rate or price shall be entered against each item in the priced Bill of Quantities, whether quantities are stated or not. The cost of items against which the Contractor has failed to enter a rate or price shall be deemed to be covered by other rates and prices entered in the Bill of Quantities. The unit rates and prices for Excavation and Lining Works shall not vary with changes in measured quantities and shall be deemed to cover the entire remuneration of the Contractor for the excavation and Lining Works *[GC Sub-Clause 13.8.2]*
5. The cost of complying with the provisions of the Contract for Excavation and Lining Works shall be included in the items provided in the priced Bill of Quantities, and where no Items are provided, the cost shall be deemed to be distributed among the rates and prices entered for the related Items of Work.
6. General directions and descriptions of work and materials are not necessarily repeated nor summarized in the Bill of Quantities. References to the relevant sections of the Contract documentation shall be made before entering prices against each item in the priced Bill of Quantities.
7. Provisional Sums included and so designated in the Bill of Quantities shall be expended in whole or in part at the direction and discretion of the Engineer in accordance with GC Sub-Clauses 13.4 and 13.5 except with respect to DAAB Fees and Expenses for which no instruction will be required from the Engineer.
8. Provisional Sums included and so designated in the Bill of Quantities shall be expended in whole or in part at the direction and discretion of the Engineer in accordance with GC Sub-Clauses 13.4 and 13.5.
9. The method of measurement shall be as stated in the Contract Data (Sub-Clause 13.8.1).
10. If PDS-ITP 31.1 (a) applies, Proposers shall price the Bill of Quantities in local currency only and shall indicate in the Appendix to Proposals the percentage expected for payment in foreign currency or currencies. If PDS-ITP 31.1 (b) applies Proposers shall price the Bill of Quantities in the applicable currency or currencies.

***[Note to the Employer: The tables in BOQ must be prepared in accordance with the currency alternative retained in PDS – ITP 31.1.]***

|  |
| --- |
| Bill of Quantities |

**Bill No. --: ----**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| *Item no.* | *Description* | *Unit* | *Quantity* | *Rate* | *Amount* |
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| Total for Bill No. --(carried forward to Summary, p. ) |   |

**Bill No. ---: ---**

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| *Item no.* | *Description* | *Unit* | *Quantity* | *Rate* | *Amount* |
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| Total for Bill No. ---(carried forward to Summary, p. ) |   |

**Bill No. ---: ----**

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| *Item no.* | *Description* | *Unit* | *Quantity* | *Rate* | *Amount* |
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| Total for Bill No. ---(carried forward to Summary, p. ) |   |

Daywork Schedule

***[Note to the Employer:***

*For work of a minor or incidental nature, the Engineer may instruct that a variation shall be executed on a daywork basis. The preferred alternative is to value the additional work in accordance with the Conditions of Contract. If a Daywork Schedule is to be included in the RFP documents, it is preferable to include nominal quantities against the items most likely to be used, and to carry the sum of the extended amounts forward into the Proposal Summary in order to make the basic Schedule of Daywork Rates competitive.*

*If a Day work schedule is not included, Sub-Clause 13.5 of the General Conditions will not apply].*

**General**

1. Reference is made to Sub-Clause 13.5 of the General Conditions. Work shall not be executed on a daywork basis except by written order of the Engineer. Proposers shall enter basic rates for daywork items in the Schedules, which rates shall apply to any quantity of daywork ordered by the Engineer. Nominal quantities have been indicated against each item of daywork, and the extended total for Daywork shall be carried forward as a Provisional Sum to the Summary Total Proposal Amount. Unless otherwise adjusted, payments for daywork shall be subject to price adjustment in accordance with the provisions in the Conditions of Contract.

**Daywork Labour**

1. In calculating payments due to the Contractor for the execution of daywork, the hours for labour will be reckoned from the time of arrival of the labour at the job site to execute the particular item of daywork to the time of return to the original place of departure, but excluding meal breaks and rest periods. Only the time of classes of labour directly doing work ordered by the Engineer and for which they are competent to perform will be measured. The time of gangers (charge hands) actually doing work with the gangs will also be measured but not the time of foremen or other supervisory personnel.
2. The Contractor shall be entitled to payment in respect of the total time that labour is employed on daywork, calculated at the basic rates entered by the Contractor in the **Schedule of Daywork Rates: 1. Labour,** together with an additional percentage payment on basic rates representing the Contractor’s profit, overheads, etc.,as described below:

(a) The basic rates for labour shall cover all direct costs to the Contractor, including (but not limited to) the amount of wages paid to such labour, transportation time, overtime, subsistence allowances, and any sums paid to or on behalf of such labour for social benefits in accordance with *[country of Borrower]* law. The basic rates will be payable in local currency only.

(b) The additional percentage payment to be quoted by the proposer and applied to costs incurred under (a) above shall be deemed to cover the Contractor’s profit, overheads, superintendence, liabilities, and insurances and allowances to labour, timekeeping, and clerical and office work, the use of consumable stores, water, lighting, and power; the use and repair of stagings, scaffolding, workshops, and stores, portable power tools, manual plant, and tools; supervision by the Contractor’s staff, foremen, and other supervisory personnel; and charges incidental to the foregoing. Payments under this item shall be made in the following currency proportions:

(i) foreign: percent (to be stated by proposer).[[12]](#footnote-13)

(ii) local: percent (to be stated by proposer).

[***Note to the Employer****:*

*This method of indicating profit and overheads separately facilitates the addition of further items of daywork, if needed, the basic costs of which can then be checked more easily. An alternative is to make Daywork rates all-inclusive of the Contractor’s overhead and profit, etc., in which case this paragraph and the relevant Daywork Schedule should be modified accordingly*.*]*

**Daywork Materials**

1. The Contractor shall be entitled to payment in respect of materials used for daywork (except for materials for which the cost is included in the percentage addition to labour costs as detailed heretofore), at the basic rates entered by the Contractor in the **Schedule of Daywork Rates: 2. Materials,** together with an additional percentage payment on the basic rates to cover overhead charges and profit, as follows:

(a) the basic rates for materials shall be calculated on the basis of the invoiced price, freight, insurance, handling expenses, damage, losses, etc., and shall provide for delivery to store for stockpiling at the Site. The basic rates shall be stated in local currency, but payment will be made in the currency or currencies expended upon presentation of supporting documentation.

(b) the additional percentage payment shall be quoted by the proposer and applied to the equivalent local currency payments made under (a) above. Payments under this item will be made in the following currency proportions:

(i) foreign: percent (to be stated by the proposer);[[13]](#footnote-14)

(ii) local: percent (to be stated by the proposer);

(c) the cost of hauling materials for use on work ordered to be carried out as daywork from the store or stockpile on the Site to the place where it is to be used will be paid in accordance with the terms for Labour and Construction in this schedule.

**Daywork Contractor’s Equipment**

1. The Contractor shall be entitled to payments in respect of Contractor’s Equipment already on Site and employed on daywork at the basic rental rates entered by the Contractor in the **Schedule of Daywork Rates: 3. Contractor’s Equipment.** Day work rates is exclusive of rental or lease costs for all Contractor’s Equipment, available or required on Site. Said rates shall be deemed to include due and complete allowance for depreciation, interest, indemnity, and insurance, repairs, maintenance, supplies, fuel, lubricants, and other consumables, and all overhead, profit, and administrative costs related to the use of such equipment. [***Note to the Employer****: This is an example of wording to include overhead and profit, etc., in the daywork rates. A separate percentage addition could be used as for labour and materials*.] The cost of drivers, operators, and assistants will be paid for separately as described under the section on Daywork Labour. *[****Note to the Employer****: An alternative, sometimes adopted for* administrative *convenience, is to include the cost of drivers, operators, and assistants in the basic rates for Contractor’s Equipment. The last sentence of this paragraph 5 should then be modified accordingly.]*
2. In calculating the payment due to the Contractor for Contractor’s Equipment employed on daywork, only the actual number of working hours will be eligible for payment, except that where applicable and agreed with the Engineer, the travelling time from the part of the Site where the Contractor’s Equipment was located when ordered by the Engineer to be employed on daywork and the time for return journey thereto shall be included for payment.
3. The basic rental rates for Contractor’s Equipment employed on daywork shall be stated in local currency, but payments to the Contractor will be made in currency proportions, as follows:

(a) foreign: percent (to be stated by the proposer).[[14]](#footnote-15)

(b) local: percent (to be stated by the proposer).

Schedule of Daywork Rates: 1. Labor

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| *Item no.* | *Description* | *Unit* | *Nominal quantity* | *Rate* | *Extended amount* |
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|  | Subtotal |  |
|  | Allow percent a of Subtotal for Contractor’s overhead, profit, etc.  |  |  |
|  |  |  |  |  |  |
|  | Total for Daywork: Labor(carried forward to Daywork Summary, p. ) |   |
| a. To be entered by the Proposer. |

Schedule of Daywork Rates: 2. Materials

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| --- | --- | --- | --- | --- | --- |
| *Item no.* | *Description* | *Unit* | *Nominal quantity* | *Rate* | *Extended amount* |
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|  | Subtotal |  |
|  | Allow percent of Subtotal for Contractor’s overhead, profit, etc. |  |  |
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|  | Total for Daywork: Materials(carried forward to Daywork Summary, p. ) |   |
| a. To be entered by the Proposer. |

Schedule of Daywork Rates: 3. Contractor’s Equipment

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Item no.* | *Description* | *Nominal quantity (hours)* | *Basic hourly rental rate* | *Extended amount* |
|  |  |  |  |  |
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|  |  |  |  |  |
|  | Subtotal |  |
|  | Allow percenta of Subtotal for Contractor’s overhead, profit, etc. |  |  |
|  |  |  |  |  |
| Total for Daywork: Contractor’s Equipment(carried forward to Daywork Summary, p. ) |   |
| a. To be entered by the Proposer. |

Daywork Summary

|  |  |  |
| --- | --- | --- |
|  | *Amount*a*( )* | *% Foreign* |
| 1. Total for Daywork: Labor |  |  |
| 2. Total for Daywork: Materials |  |  |
| 3. Total for Daywork: Contractor’s Equipment |  |  |
| Total for Daywork (Provisional Sum)(carried forward to Proposal Summary, p. ) |   |   |
| a. The Employer should insert local currency unit. |

Specified Provisional Sums

|  |  |  |
| --- | --- | --- |
| *Item no.* | *Description* | *Amount* |
| 1 |  |  |
|  |  |  |
|  |  |  |
| 2 |  |  |
|  |  |  |
|  |  |  |
| 3 |  |  |
|  |  |  |
|  |  |  |
| 4  | [*To be entered by the Employer. The provisional sums shall include an estimated amount to cover the Employer’s portion (50%) of DAAB’s fees and expenses.]* provisional sums for the Employer’s portion of DAAB costs |  |
|  | [*To be entered by the Employer; Delete if not applicable:]* Provisional sums for any specific ES outcomes. |  |
|  |  |  |
| etc. |  |  |
|  |  |  |
|  | Total for Specified Provisional Sums(carried forward to Grand Summary (B), p. ) |   |

Grand Summary

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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|

|  |  |  |
| --- | --- | --- |
| *General Summary* | *Page* | *Amount* |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
| *total of Priced Activities* | *(A)1* |  |
| *total of Bills* | *(A)2* |  |
| *Total for Daywork (Provisional Sum)\** | *(B)* |  |
| *Specified Provisional Sums ii* | *(C)* | *[sum]* |
| *Total of Activities, Bills and Provisional Sums (A1 + A2 + B + C)* | *(D)* |  |
| *Add Provisional Sum for Contingency Allowance (if any) ii* | *(E)* | *[sum]* |
| *Proposal Price (D + E) (Carried forward to Letter of Proposal)* | *(F)* |  |
|  |  |  |

i) All Provisional Sums are to be expended in whole or in part at the direction and discretion of the Engineer in accordance with Sub-Clauses 13.4 and 13.5 of the General Conditions. except with respect to DAAB Fees and Expenses for which Sub-Clause 13.4 of the Particular Conditions – Part B shall apply.ii) To be entered by the Employer.\* For evaluation purposes, Provisional Sum, other than Daywork will be excluded |

Schedule of Payments

*[****Note to the Employer***

*If payments to the Contractor are to be made in instalments pursuant to GC Sub-Clause 14.4, then the Employer shall include an indicative table of instalments here. Please note the default position in accordance with GC Sub-Clause 14.4 [Schedule of Payments] when the Contract does not include a Schedule of Payments. Include the following if the indicative table of installments is provided here by the Employer:*

*“The Proposer shall propose the Payment Schedule considering the indicative table of installments provided by the Employer consistent with the Completion Schedule. For the avoidance of doubt, this does not apply to Excavation and Lining Works, for which payments will be based upon measurement according to GC Sub-Clause 13.8 [Measurement of Excavation and Lining Works and Adjustemnt of Time for Completion and Contrct Price.]*

Schedule of Performance Guarantees and Performance Damages

*[* ***If applicable****, insert the gurantees required by the Employer for performance of the Works or any part of the Works (as the case may be), and stating the applicable Performance Damages payable in the event of failure to attain any of the guranteed performance (s). See GC Sub-Clauses 1.1.87, 9.1 and 12.4]*

Technical Proposal Forms

1. Design Methodology
2. Method Statements for construction activities
3. Code of Conduct for Contractor’s Personnel (ES)
4. Schedule of Baselines
5. Completion Schedule
6. Contractor’s Personnel Organization Chart
7. Schedule of Contractor’s Key Equipment
8. Subcontractors
9. Others

Design Methodology

##

In accordance with GC Sub-Clause 5.1, the Contractor shall carry out, and be responsible for, the design of the Works to the extent specified in the Employer’s Requirements, and , where applicable, in accordance with the Geotechnical Baseline Report.

Accordingly, the Proposer shall submit a design methodology which addresses as a minimum the following:

1. organizational arrangements for the design including: team structure, roles and responsibilities, interface arrangements, design review and approval procedures and quality assurance arrangements;
2. Proposed design deliverables *[Employer to specify any mandatory requirements appropriate to good international industry practice];*
3. design statement setting out how the Employers Requirements will be achieved;
4. Any added value the Proposer will bring including examples of innovative aspects of the design;
5. Comments, if any, on the Employer's Requirements, including design criteria and caculations, if any, and the Geotechnical Baseline Report (providing such comments does not relive the Contractor from scrutunizing the Employer’s Requirements (including design criteria and caculations, if any) and the Geotechnical Baseline Report in accordance with Sub-Clause 5.1 *[General Design Obligations]*:
6. Sustainable Procurement: sustainability aspects (e.g. energy efficiency, reduction of wastages, material reduction, sources of materials etc.) demonstrating the Proposer’s approach and commitment to sustainable design and construction practices;
7. strategy for gathering baseline ES information in time to inform design development;
8. details of how the ES requirements, and any proposal to enhance ES outcomes, will be incorporated into all design stages, and how the implications for the construction phase has been considered;
9. details of the approach to managing risks, stakeholder engagement, consultation and environmental permits/consents;
10. value engineering (value management) arrangements, including consideration of ESissues; and
11. software systems intended to be employed for planning, design, records and reporting.
12. *[modify/include any other relevant information, as appropriate.]*

Method Statements for Construction Activities

The Proposer shall submit method statements for construction activties which addresses aspects, including:

* + - * 1. organizational arrangements for the construction management including: team structure, roles and responsibilities, interface arrangements, approval procedures and quality assurance arrangements;
				2. subcontractor selection and management;
				3. proposals for training all personnel attending site;
				4. stakeholder engagement;
				5. obtaining and managing consents, permits and approvals;
				6. execution of Permanent Works according to Sections as speciifed in the GBR;
				7. execution of the Temporary works including Site establishment;
				8. site setup proposals including access, accommodation, welfare facilities, arrangement for plant and storage of material in partcular those involving waste and hazardous materials;
				9. interface requirements for utility connections at various locations on and around the Site;
				10. operation of borrow pits, disposal areas and transport within, or to and from, the Site;
				11. construction phasing proposals including sequence of work and management of conflicting activities;
				12. ensuring that any geotechnical investigations or other advance works meet the ES requirements;
				13. analysis of production cycles
				14. risk management approach for geotechnical and subsurface aspects of the Works;
				15. quality management system including a draft of the quality management plan;
				16. sustainability aspects demonstrating the Proposer’s approach and commitment to sustainable construction practices (e.g. energy efficiency, reduction of wastages, material reduction and sources of materials etc.);
				17. preparation, approval and implementation of the Contractor’s environmental and social management plan;
				18. preparation, approval and implementation of the Contractor’s health and safety manual;
				19. grievance redress mechanisms;
				20. reporting arrangements, including topics (that include ES) and timescales in accordance with the Particular Conditions – Part B Sub-Clause 4.20;
				21. arrangements for testing upon completion of the works;
				22. arrangements for site handover, including completion of as-built drawings, preparation of operation and maintenance manuals, and any other relevant aspects; and
				23. additional issues as stated in the Employer’s Requirements.
				24. *[modify/include any other relevant information, as appropriate.]*

Code of Conduct for Contractor’s Personnel (ES) Form

**Note to the Proposer**:

**The minimum content of the Code of Conduct form as set out by the Employer shall not be substantially modified**. However, the Proposer may add requirements as appropriate, including to take into account Contract-specific issues/risks.

The Proposer shall initial and submit the Code of Conduct form as part of its proposal.

***Note to the Employer****:*

***The following minimum requirements shall not be modified****. The Employer may add additional requirements to address identified issues, informed by relevant environmental and social assessment.*

*The types of issues identified could include risks associated with: labor influx, spread of communicable diseases, and Sexual Exploitation and Abuse (SEA) etc.*

***Delete this Box prior to issuance of the RFP documents.***

**CODE OF CONDUCT FOR CONTRACTOR’S PERSONNEL**

We are the Contractor, [*enter name of Contractor*]. We have signed a contract with [*enter name of Employer*] for [*enter description of the Works*]. These Works will be carried out at [*enter the Site and other locations where the Works will be carried out*]. Our contract requires us to implement measures to address environmental and social risks related to the Works, including the risks of sexual exploitation, sexual abuse and sexual harassment.

This Code of Conduct is part of our measures to deal with environmental and social risks related to the Works. It applies to all our staff, labourers and other employees at the Works Site or other places where the Works are being carried out. It also applies to the personnel of each subcontractor and any other personnel assisting us in the execution of the Works. All such persons are referred to as “**Contractor’s Personnel”** and are subject to this Code of Conduct.

This Code of Conduct identifies the behavior that we require from all Contractor’s Personnel.

Our workplace is an environment where unsafe, offensive, abusive or violent behavior will not be tolerated and where all persons should feel comfortable raising issues or concerns without fear of retaliation.

**REQUIRED CONDUCT**

Contractor’s Personnel shall:

1. carry out his/her duties competently and diligently;
2. comply with this Code of Conduct and all applicable laws, regulations and other requirements, including requirements to protect the health, safety and well-being of other Contractor’s Personnel and any other person;
3. maintain a safe working environment including by:
	1. ensuring that workplaces, machinery, equipment and processes under each person’s control are safe and without risk to health;
	2. wearing required personal protective equipment;
	3. using appropriate measures relating to chemical, physical and biological substances and agents; and
	4. following applicable emergency operating procedures.
4. report work situations that he/she believes are not safe or healthy and remove himself/herself from a work situation which he/she reasonably believes presents an imminent and serious danger to his/her life or health;
5. treat other people with respect, and not discriminate against specific groups such as women, people with disabilities, migrant workers or children;
6. not engage in any form of Sexual Harassment, which means unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature with other Contractor’s or Employer’s Personnel;
7. not engage in Sexual Exploitation, which means any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another;
8. not engage in Sexual Abuse, which means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions;
9. not engage in any form of sexual activity with individuals under the age of 18, except in case of pre-existing marriage;
10. complete relevant training courses that will be provided related to the environmental and social aspects of the Contract, including on health and safety matters, Sexual Exploitation and Abuse (SEA), and Sexual Harassment (SH);
11. report violations of this Code of Conduct; and
12. not retaliate against any person who reports violations of this Code of Conduct, whether to us or the Employer, or who makes use of the grievance mechanism for Contractor’s Personnel or the project’s Grievance Redress Mechanism.

**RAISING CONCERNS**

If any person observes behavior that he/she believes may represent a violation of this Code of Conduct, or that otherwise concerns him/her, he/she should raise the issue promptly. This can be done in either of the following ways:

1. Contact [*enter name of the Contractor’s Social Expert with relevant experience in handling* *sexual exploitation, sexual abuse and sexual harassment cases, or if such person is not required under the Contract, another individual designated by the Contractor to handle these matters*] in writing at this address [ ] or by telephone at [ ] or in person at [ ]; or
2. Call [ ] to reach the Contractor’s hotline *(if any)* and leave a message.

The person’s identity will be kept confidential, unless reporting of allegations is mandated by the country law. Anonymous complaints or allegations may also be submitted and will be given all due and appropriate consideration. We take seriously all reports of possible misconduct and will investigate and take appropriate action. We will provide warm referrals to service providers that may help support the person who experienced the alleged incident, as appropriate.

There will be no retaliation against any person who raises a concern in good faith about any behavior prohibited by this Code of Conduct. Such retaliation would be a violation of this Code of Conduct.

**CONSEQUENCES OF VIOLATING THE CODE OF CONDUCT**

Any violation of this Code of Conduct by Contractor’s Personnel may result in serious consequences, up to and including termination and possible referral to legal authorities.

FOR CONTRACTOR’S PERSONNEL:

I have received a copy of this Code of Conduct written in a language that I comprehend. I understand that if I have any questions about this Code of Conduct, I can contact [*enter name of Contractor’s contact person with relevant experience*] requesting an explanation.

Name of Contractor’s Personnel: [insert name]

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: (day month year): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Countersignature of authorized representative of the Contractor:

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: (day month year): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**ATTACHMENT 1:** Behaviors constituting Sexual Exploitation and Abuse (SEA) and behaviors constituting Sexual Harassment (SH)

**ATTACHMENT 1 TO THE CODE OF CONDUCT FORM**

**BEHAVIORS CONSTITUTING SEXUAL EXPLOITATION AND ABUSE (SEA) AND BEHAVIORS CONSTITUTING SEXUAL HARASSMENT (SH)**

The following non-exhaustive list is intended to illustrate types of prohibited behaviors.

1. **Examples of sexual exploitation and abuse** include, but are not limited to:
* A Contractor’s Personnel tells a member of the community that he/she can get them jobs related to the work site (e.g. cooking and cleaning) in exchange for sex.
* A Contractor’s Personnel that is connecting electricity input to households says that he can connect women headed households to the grid in exchange for sex.
* A Contractor’s Personnel rapes, or otherwise sexually assaults a member of the community.
* A Contractor’s Personnel denies a person access to the Site unless he/she performs a sexual favor.
* A Contractor’s Personnel tells a person applying for employment under the Contract that he/she will only hire him/her if he/she has sex with him/her.
1. **Examples of sexual harassment** **in a work context**
* Contractor’s Personnel comment on the appearance of another Contractor’s Personnel (either positive or negative) and sexual desirability.
* When a Contractor’s Personnel complains about comments made by another Contractor’s Personnel on his/her appearance, the other Contractor’s Personnel comment that he/she is “asking for it” because of how he/she dresses.
* Unwelcome touching of a Contractor’s or Employer’s Personnel by another Contractor’s Personnel.
* A Contractor’s Personnel tells another Contractor’s Personnel that he/she will get him/her a salary raise, or promotion if he/she sends him/her naked photographs of himself/herself.

Schedule of Baselines

In accordance with GC Sub-Clause 1.1.84, the Schedule of Baselines is the document setting out the Excavation and Lining Works activities or items and their corresponding quantities based on the subsurface physical conditions described in the Geotechncial Baseline Report (GBR), and their corresponding production rates as provided by the Proposer.

The Proposer shall complete the schedule of Baselines, based upon, but not limted to, its own estimates of its production rates. The rates of production entered by the Proposer shall be consistent with the GBR, the proposed characterstics of the Contractor’s key Equipment and the experience of the Contractor’s Key Personnnel.

The Schedule of Baselines shall be based on the GBR and on the Employer’s reference design. The Schedule of Baselines shall contain all the activities and their anticiapted quanties for the Underground Excavation and Lining, typically allocated by Sections and drives.

The Schedule of Baselines shall include, as applicable and without limitation, the following information and/or measures relating to:

1. location, dimensions, nature and characterstics of expected utilities and underground structures;
2. excavation and support classes as described in the GBR and the Employer’s reference design;
3. probe drilling and other investigations related to assessing subsurface physical conditions;
4. complementry support;
5. advanced ground treatment, such as poor or contaminted ground;
6. consolidation and waterproofing grouting;
7. seepage, water ingress treatment and related hindernaces;
8. treatment of geological overbreak and related hindrances;
9. waterproffing;
10. construction of final lining;
11. interruotions due changes in the method of construction for Excavation and Lining Works;
12. interruptions due to Unforseeable subsurface physical conditions i.e. those included in te GBR; and
13. anticipated interruptions and hindrances anticipated due to the Employer or Authorities

The Schedule of Baselines shall also include other relevant conditions of the Works specified in the Contract, such as working time per shift/per day/per week, number of shifts per week, number of working days per week, compulsory holidays etc.

The Schedule of Baselines shall be divided into nits (typically individual drives and/or methods of construction per zone) that reflect a Section or Part of the Works,if applicable, to enable the computation of the time avaibale to the Contractor for the specific corresponding production times for the Undeground Excavation and Lining of the same.

The corresponding total time available for each unit shall be the sum of all the individual production times for the realization of the individual items of work itemized in the relevant Schedule of Baselines.

The time for realization of an individual item of work shall be calculated by divding the quantity specified by the Employer by the corresponding production rate submitted by the Contractor taking into any time for leranin curves into account.

***[For more information and example of Schedule of Baselines refer to the relevant notes included in the Emerald book]***

Completion Schedule

The Proposer shall submit the Completion Schedule based on and consistent with:

1. the Schedule of Baselines, including the tendered production rates;
2. the milestones that are independent of the criteria set out in the Schedule of Baselines; and
3. the details of the production rates defined in the Proposer’s proposal
4. any other requirements and timelines including:
5. No-objection to the Contractor’s MSIPs, which collectively form the C-ESMP, in accordance with the Particular Conditions Part B- Sub-Clause 4.1;
6. Constitution of the DAAB;
7. SEA and SH orientation conference;
8. submission of the design deliverables, review and approval of the design by the Engineer
9. processes and deliverables needed to commence the Works;
10. completing the Works within the Time for Completion;
11. testing, commissioning and handing over of the completed Works; and
12. *[insert any other relevant information, as appropriate.]*

The Completion Schedule shall include the logical links between all Sections and Milestones and the distinct activities comprising the required items of work linked to the Sections and Milestones.

Once completed and accepted by the Employer, the Completion Schedule shall be included in the Contract and referenced to in the Contract Data (1.1.8).

Contractor’s Personnel Organization Chart

The Proposer shall provide an organization chart illustrating the proposed management structure and reporting lines for delivery of the Contract. The organization chart shall include the names of all Key Personnel.

Personnel: Form PER -1: Key Personnel qualifications and resource schedule

Proposers should provide the names and details of the suitably qualified Contractor’s Representative and Key Personnel to perform the Contract. The data on their experience should be supplied using the Form PER-2 below for each candidate. Proposers should submit a fully detailed Key Personnel resource schedule for the whole contract implementation period. The resource schedule must include:

* the name and role for each Key Personnel position
* The duration of each Key Personnel appointment
* The level of effort (time) allocated to each Key Personnel position and its distribution throughout the contract implementation period.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Title of position** | **Name of candidate** |  |
| *1.* | *[Contractor’s Representative]* |  |  |
| ***Key Personnel for Design*** |
| *2.* | *[Design Manager]* |  |  |
| *3.* | *[Environmental Impact Assessment Specialist]* |  |  |
| *4.* | *[Social Impact Assessment Specialist]* |  |  |
| *5.* | *[Health and Safety Specialist]* |  |  |
| *6.* | *[Biodiversity, Air quality, Noise etc. Specialists]* |  |  |
| *7.* | *[Modify/add others as appropriate]* |  |  |
| ***Key Personnel for Construction*** |
| *8.* | *[Construction Manager]* |  |  |
| *9.* | *[Environmental Specialist]* |  |  |
| *10.* | *[Health and Safety Specialist]* |  |  |
| *11.* | *[Social Specialist]* |  |  |
| *12.* | *[Survey Manager]* |  |  |
| *13* | *[***Sexual Exploitation, Abuse and Harassment Expert(s)***[Where a Project SEA risks are assessed to be substantial or high, Key Personnel shall include an expert (s) with relevant experience in addressing sexual exploitation, sexual abuse and sexual harassment] cases]* |  |  |
| *14.* | *[Modify/add others as appropriate]* |  |  |

Form PER-2: Resume and Declaration: Contractor’s Representative and Key Personnel

|  |
| --- |
| **Name of Proposer** |

|  |
| --- |
| **Position *[#1]: [title of position from Form PER-1]*** |
| **Personnel information** | **Name:**  | **Date of birth:** |
|  | **Address:** | **E-mail:** |
|  |  |  |
|  | **Professional qualifications:** |
|  | **Academic qualifications:** |
|  | **Language proficiency:** *[language and levels of speaking, reading and writing skills]*  |
| **Details** |  |
|  | **Address of employer:** |
|  | **Telephone:** | **Contact (manager / personnel officer):** |
|  | **Fax:** |  |
|  | **Job title:** | **Years with present employer:** |

Summarize professional experience in reverse chronological order. Indicate particular technical and managerial experience relevant to the project.

|  |  |  |  |
| --- | --- | --- | --- |
| **Project**  | **Role** | **Duration of involvement** | **Relevant experience** |
| *[main project details]* | *[role and responsibilities on the project]* | *[time in role]* | *[describe the experience relevant to this position]*  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Declaration**

I, the undersigned Key Personnel, certify that to the best of my knowledge and belief, the information contained in this Form PER-2 correctly describes myself, my qualifications and my experience.

I confirm that I am available as certified in the following table and throughout the expected time schedule for this position as provided in the Proposal:

|  |  |
| --- | --- |
| **Commitment** | **Details** |
| **Commitment to duration of contract:** | *[insert period (start and end dates) for which this Key Personnel is available to work on this contract]* |
| **Time commitment:** | *[insert the number of days/week/months/ that this Key Personnel will be engaged]* |

I understand that any misrepresentation or omission in this Form may:

1. be taken into consideration during Proposal evaluation;
2. my disqualification from participating in the Proposal;
3. my dismissal from the contract.

**Name of Key Personnel: *[insert name]***

Signature:

Date: (day month year):

**Countersignature of authorized representative of the Proposer:**

Signature:

Date: (day month year):

Form EQU: Schedule of Contractor’s Key Equipment

The Proposer shall provide its strategy for acquiring and maintaining the Key Equipment specified in the Employer’s Requirements, and other proposed Key Equipment, needed to execute the Works in accordance with the Completion Schedule. In the strategy, the Proposer shall specify the number, manufacturer, characterstics (weight, diameter, bucket capacity etc.), model, power rating, energy source ( electricity, diesel, gasoline etc.), age and maintenance condition, availability on site, and how it will ensure that the equipment is maintained in accordance with manufacturer’s specifications for the duration of the Contract. The Proposer shall specify whether it will own, lease, rent or specially manufacture the key equipment.

*[Example- Schedule of Contractor’s Key Equipment]*

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| BoQ item No.  | Type | Brand | Commisioning year | Power | Characterstic  | Energy source | Number of items | Used for *Baseline Schedule no.* | Availability (weeks) | Remarks e.g.Asset value of equipment (New/Used) |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |

Subcontractors: Proposed Subcontractors for
Major Activities/Sub-Activities

The following Subcontractors and/or manufacturers are proposed for carrying out the activity/subactivity indicated. For any additional subcontractor (that is not the Specialized Subcontractor accepted in the initial selection process or subsequently approved by the Employer in accordance with ITP 14.3), Proposers are free to propose more than one Subcontractor for each activity/subactivity.

|  |  |  |
| --- | --- | --- |
| **Activity/Sub-Activity**  | **Proposed Subcontractors** | **Nationality** |
|  |  |  |
|  |  |  |
|  |  |  |

Qualification Forms

**Form ELI 1.1**

Proposer Information Sheet

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

RFP No.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Page \_\_\_\_\_\_\_\_ of \_\_\_\_\_\_\_ pages

|  |
| --- |
| 1. Proposer’s Legal Name  |
| 2. In case of JV, legal name of each party: |
| 3. Proposer’s actual or intended Country of Registration: |
| 4. Proposer’s Year of Registration:  |
| 5. Proposer’s Legal Address in Country of Registration: |
| 6. Proposer’s Authorized Representative InformationName:Address:Telephone/Fax numbers:Email Address: |
| 7. Attached are copies of original documents of Articles of Incorporation (or equivalent documents of constitution or association), and/or documents of registration of the legal entity named above, in accordance with ITP 4.4 In case of JV, letter of intent to form JV or JV agreement, in accordance with ITP 4.1 In case of state-owned enterprise or institution, in accordance with ITP 4.6, documents establishing:* Legal and financial autonomy
* Operation under commercial law
* Establishing that the Proposer is not under the supervision of the Employer

8. Included are the organizational chart, a list of Board of Directors, and the beneficial ownership. *[If required under PDS ITP 64.1, the successful Proposer shall provide additional information on beneficial ownership, using the Beneficial Ownership Disclosure Form.]* |

**Form ELI 1.2**

Party to JV Information Sheet

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

RFP No.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Page \_\_\_\_\_\_\_\_ of \_\_\_\_\_\_\_ pages

|  |
| --- |
| 1. Proposer’s Legal Name:  |
| 2. JV’s Party legal name: |
| 3. JV’s Party Country of Registration: |
| 4. JV’s Party Year of Registration: |
| 5. JV’s Party Legal Address in Country of Registration: |
| 6. JV’s Party Authorized Representative InformationName:Address:Telephone/Fax numbers:Email Address: |
| 7. Attached are copies of original documents of Articles of Incorporation (or equivalent documents of constitution or association), and/or registration documents of the legal entity named above, in accordance with ITP 4.4. In case of a state-owned enterprise or institution, documents establishing legal and financial autonomy, operation in accordance with commercial law, and that they are not under the supervision of the Employer, in accordance with ITP 4.6.8. Included are the organizational chart, a list of Board of Directors, and the beneficial ownership. *[If required under PDS ITP 64.1, the successful Proposer shall provide additional information on beneficial ownership for each JV member using the Beneficial Ownership Disclosure Form.]* |

**Form CON – 2**

Historical Contract Non-Performance, Pending Litigation and Litigation History

***[This form should be used only if the information submitted at the time of initial selection requires updating. The following table shall be filled in for the Proposer and for JVs, each member of the Joint Venture]***

Proposer’s Name: *[insert full name]*

Date: *[insert day, month, year]*

JV Member’s Name: *[insert* *full name]*

RFP No. and title: *[insert RFP number and title]*

Page *[insert page number]* of *[insert total number]* pages

|  |
| --- |
| Non-Performed Contracts in accordance with Section III, Evaluation and Qualification Criteria of the Initial Selection document  |
|  Contract non-performance did not occur since 1st January *[insert year]* Contract(s) not performed since 1st January *[insert year]*  |
| **Year** | **Non- performed portion of contract** | **Contract Identification** | **Total Contract Amount (current value, currency, exchange rate and US$ equivalent)** |
| *[insert year]* | *[insert amount and percentage]* | Contract Identification: *[indicate complete contract name/ number, and any other identification]*Name of Employer: *[insert full name]*Address of Employer: *[insert street/city/country]*Reason(s) for nonperformance: *[indicate main reason(s)]* | *[insert amount]* |
| Pending Litigation, in accordance with Section III, Evaluation and Qualification Criteria of the Initial Selection document |
|  No pending litigation  |
|  Pending litigation  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Year of dispute** | **Amount in dispute (currency)** | **Contract Identification** | **Total Contract Amount (currency), USD Equivalent (exchange rate)** |
|  |  | Contract Identification: Name of Employer: Address of Employer: Matter in dispute: Party who initiated the dispute: Status of dispute:  |  |
| Litigation History in accordance with Section III, Evaluation and Qualification Criteria of the Initial Selection document |
|  No Litigation History  Litigation History  |
| **Year of award** | **Outcome as percentage of Net Worth**  | **Contract Identification** | **Total Contract Amount (currency), USD Equivalent (exchange rate)** |
| *[insert year]* | *[insert percentage]* | Contract Identification: [indicate complete contract name, number, and any other identification]Name of Employer: *[insert full name]*Address of Employer: *[insert street/city/country]*Matter in dispute: *[indicate main issues in dispute]*Party who initiated the dispute: *[indicate “Employer” or “Contractor”]*Reason(s) for Litigation and award decision *[indicate main reason(s)]* | *[insert amount]* |

**Form CON – 3**

Environmental, and Social Performance Declaration

***[This form should be used only if the information submitted at the time of initial selection requires updating. The following table shall be filled in for the Proposer and for JVs, each member of the Joint Venture and each Specialized Subcontractor]***

Proposer’s Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member’s or Specialized Subcontractor’s Name: *[insert* *full name]*

RFP No. and title: *[insert RFP number and title]*

Page *[insert page number]* of *[insert total number]* pages

|  |
| --- |
| Environmental and Social Performance Declaration in accordance with Section III, Qualification Criteria, and Requirements of the Initial Selection document |
|  **No suspension or termination of contract**: An employer has not suspended or terminated a contract and/or called the performance security for a contract for reasons related to Environmental and Social (ES) performance since the date specified in Section III, Qualification Criteria, and Requirements, Sub-Factor 2.5. **Declaration of suspension or termination of contract**: The following contract(s) has/have been suspended or terminated and/or Performance Security called by an employer(s) for reasons related to Environmental and Social (ES) performance since the date specified in Section III, Qualification Criteria, and Requirements, Sub-Factor 2.5. Details are described below: |
| **Year** | **Suspended or terminated portion of contract** | **Contract Identification** | **Total Contract Amount (current value, currency, exchange rate and US$ equivalent)** |
| *[insert year]* | *[insert amount and percentage]* | Contract Identification: *[indicate complete contract name/ number, and any other identification]*Name of Employer: *[insert full name]*Address of Employer: *[insert street/city/country]*Reason(s) for suspension or termination: *[indicate main reason(s) e.g. gender-based violence; sexual exploitation or sexual abuse breaches]* | *[insert amount]* |
| *[insert year]* | *[insert amount and percentage]* | Contract Identification: *[indicate complete contract name/ number, and any other identification]*Name of Employer: *[insert full name]*Address of Employer: *[insert street/city/country]*Reason(s) for suspension or termination: *[indicate main reason(s)]* | *[insert amount]* |
| *…* | *…* | *[list all applicable contracts]* | *…* |
| **Performance Security called by an employer(s) for reasons related to ES performance** |
| **Year** | **Contract Identification** | **Total Contract Amount (current value, currency, exchange rate and US$ equivalent)** |
| *[insert year]* | Contract Identification: *[indicate complete contract name/ number, and any other identification]*Name of Employer: *[insert full name]*Address of Employer: *[insert street/city/country]*Reason(s) for calling of performance security: *[indicate main reason(s) e.g. gender-based violence; sexual exploitation or sexual abuse breaches]* | *[insert amount]* |
|  |  |  |

**Form CON – 4**

Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment Performance Declaration

*[This form should be used only if the information submitted at the time of Initial Selection requires updating. The following table shall be filled in for the Proposer, each member of a Joint Venture and each Subcontractor]*

Proposer’s Name: *[insert full name]*Date: *[insert day, month, year]*Joint Venture Member’s or Subcontractor’s Name: *[insert* *full name]*RFP No. and title: *[insert RFP number and title]*Page *[insert page number]* of *[insert total number]* pages

|  |
| --- |
| **SEA and/or SH Declaration** **in accordance with Section III, Qualification Criteria, and Requirements of the Initial Selection Document** |
| We:🞎 (a) have not been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations🞎 (b) are subject to disqualification by the Bank for non-compliance with SEA/ SH obligations🞎 (c) had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations. An arbitral award on the disqualification case has been made in our favor.🞎 (d) had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations for a period of two years. We have subsequently demonstrated that we have adequate capacity and commitment to comply with SEA/ SH obligations.🞎 (e) had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations for a period of two years. We have attached evidence demonstrating that we have adequate capacity and commitment to comply with SEA/ SH obligations.  |
| **[*If (c) above is applicable*, *attach evidence of an arbitral award reversing the findings on the issues underlying the disqualification.]*** |
| ***[If (d) or ( e) above are applicable, provide the following information:]*** |
| Period of disqualification: From: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ To: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| If previously provided on another Bank financed works contract, details of evidence that demonstrated adequate capacity and commitment to comply with SEA/ SH obligations (**as per (d) above)**Name of Employer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Name of Project: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Contract description: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Brief summary of evidence provided: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Contact Information: (Tel, email, name of contact person): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| As an alternative to the evidence under (d), other evidence demonstrating adequate capacity and commitment to comply with SEA/ SH obligations (**as per (e) above)** *[attach details as appropriate].* |

**Form CCC**

Current Contract Commitments / Works in Progress

Proposers and each partner to a JV should provide information on their current commitments on all contracts that have been awarded, or for which a letter of intent or acceptance has been received, or for contracts approaching completion, but for which an unqualified, full completion certificate has yet to be issued.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of contract** | **Employer, contact address/tel/fax** | **Value of outstanding work (current US$ equivalent)** | **Estimated completion date** | **Average monthly invoicing over last six months(US$/month)** |
| 1. |  |  |  |  |
| 2. |  |  |  |  |
| 3. |  |  |  |  |
| 4. |  |  |  |  |
| 5. |  |  |  |  |
| etc. |  |  |  |  |

**Form FIN 3.3**

Financial Resources

Specify proposed sources of financing, such as liquid assets, unencumbered real assets, lines of credit, and other financial means, net of current commitments, available to meet the total construction cash flow demands of the subject contract or contracts as indicated in Section III, Evaluation and Qualification Criteria

|  |  |
| --- | --- |
| **Source of financing** | **Amount (US$ equivalent)** |
| 1. |  |
| 2. |  |
| 3. |  |
| 4. |  |

Others

Commercial or contractual aspects of the RFP documents that the Proposer would like to discuss with the Employer during clarifications.

Form of Proposal Security – Demand Guarantee

**Beneficiary:**

**Request for Proposals No:**

**Date:**

**PROPOSAL GUARANTEE No.:**

**Guarantor:**

We have been informed that \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (hereinafter called “the Applicant”) has submitted or will submit to the Beneficiary its Proposal (hereinafter called “the Proposal”) for the execution of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ under Request for Proposals No. \_\_\_\_\_\_\_\_\_\_\_ (“the RFP”).

Furthermore, we understand that, according to the Beneficiary’s conditions, Proposals must be supported by a Proposal guarantee.

At the request of the Applicant, we, as Guarantor, hereby irrevocably undertake to pay the Beneficiary any sum or sums not exceeding in total an amount of \_\_\_\_\_\_\_\_\_\_\_ (\_\_\_\_\_\_\_\_\_\_\_\_) upon receipt by us of the Beneficiary’s complying demand, supported by the Beneficiary’s statement, whether in the demand itself or a separate signed document accompanying or identifying the demand, stating that either the Applicant:

(a) has withdrawn its Proposal prior to the Proposal validity expiry date set forth in the Applicant’s Letter of Proposal (“the Proposal Validity Period”), or any extension thereto provided by the Applicant; or

(b) having been notified of the acceptance of its Proposal by the Beneficiary prior to the expiry date of the Proposal validity or any extension thereto provided by the Applicant, (i) has failed to execute the contract agreement, or (ii) has failed to furnish the Performance Security and, if required, an Environmental and Social (ES ) Performance Security, in accordance with the Instructions to Proposers (“ITP”) of the Beneficiary’s RFP document.

This guarantee will expire: (a) if the Applicant is the successful Proposer, upon our receipt of copies of the contract agreement signed by the Applicant and the Performance Security and, if required, an Environmental and Social (ES ) Performance Security, issued to the Beneficiary in relation to such contract agreement; or (b) if the Applicant is not the successful Proposer, upon the earlier of (i) our receipt of a copy of the Beneficiary’s notification to the Applicant of the results of the RFP process; or (ii) twenty-eight days after the expiry date of the Proposal validity.

Consequently, any demand for payment under this guarantee must be received by us at the office indicated above on or before that date.

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

*[signature(s)]*

Form of Proposal-Securing Declaration

Date:

Proposal No.:

Alternative No.:

To:

We, the undersigned, declare that:

We understand that, according to your conditions, Proposals must be supported by a Proposal-Securing Declaration.

We accept that we will automatically be suspended from being eligible for submitting proposals or bidding in any contract with the Employer for the period of time specified in Section II – Proposal Data Sheet, if we are in breach of our obligation(s) under the Proposal conditions, because we:

(a) have withdrawn our Proposal prior to the expiry date of the Proposal validity specified in the Letter of Proposal or any extended date provided by us; or

(b) having been notified of the acceptance of our Proposal by the Employer prior to the expiry date of the Proposal validity in the Letter of Proposal or any extended date provided by us, (i) fail or refuse to execute the Contract, if required, or (ii) fail or refuse to furnish the Performance Security and, if required, an Environmental and Social (ES ) Performance Security, in accordance with the ITP 65.

We understand this Proposal-Securing Declaration shall expire if we are not the successful Proposer, upon the earlier of (i) our receipt of your notification to us of the name of the successful Proposer; or (ii) twenty-eight days after the expiry date of of the Proposal validity.

Name of the Proposer\* \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of the person duly authorized to sign the Proposal on behalf of the Proposer**\*\***

Title of the person signing the Proposal \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of the person named above \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date signed \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, \_\_\_\_\_

**\***: In the case of the Proposal submitted by joint venture specify the name of the Joint Venture as Proposer

\*\*: Person signing the Proposal shall have the power of attorney given by the Proposer attached to the Proposal

*[Note: In case of a Joint Venture, the Proposal-Securing Declaration must be in the name of all members to the Joint Venture that submits the Proposal.]*

Form of Sexual Exploitation and Abuse (SEA), and/or Sexual Harassment (SH) Declaration

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ RFP No.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Alternative No.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Contract Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_­­­­­­­­­­­­­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

To:

We, the undersigned, declare that:

We understand that Proposals must be supported by a SEA and/or SH Declaration.

We accept that, if awarded the Contract, we, including our Subcontractors, are required to comply with the SEA/SH Prevention and Response Obligations under the Contract, and we further accept that the Bank may disqualify us from being awarded a Bank-financed contract for a period of two years, if it is determined by Dispute Avoidance/Adjudication Board (DAAB) decision that we:

1. have failed to correct non-compliance with identified SAE/SH Prevention and Response Obligation; and/or
2. were non-compliant with such obligations at the time of an alleged incident,

and, in the event of recourse to the Emergency Arbitration provisions under the International Chamber of Commerce Arbitration Rules, an order to reverse the DAAB Decision is not issued by the Emergency Arbitrator under the Rules.

Name of the Proposer**\***

Name of the person duly authorized to sign the Proposal on behalf of the Proposer**\*\*** \_\_\_\_\_\_\_

Title of the person signing the Proposal \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of the person named above \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date signed \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, \_\_\_\_\_

**\***: In the case of the Proposal submitted by joint venture specify the name of the Joint Venture as Proposer

\*\*: Person signing the Proposal shall have the power of attorney given by the Proposer attached to the Proposal

*[Note: In case of a Joint Venture, the SEA and/or SH Declaration must be in the name of all members to the Joint Venture that submits the Proposal.]*

Section V - Eligible Countries

**Eligibility for the Provision of Goods, Works and non-consulting Services in Bank-Financed Procurement**

In reference to **ITP 4.8** and **ITP 5.1**, for the information of the Proposers, at the present time firms, goods and services from the following countries are excluded from this RFP process:

Under **ITP 4.8(a)** and **ITP 5.1**: *[insert a list of the countries following approval by the Bank to apply the restriction or state “none”].*

Under **ITP 4.8(b)** and **ITP 5.1**: *[insert a list of the countries following approval by the Bank to apply the restriction or state “none”]*

Section VI - Fraud and Corruption

**(Section VI shall not be modified)**

1. **Purpose**
	1. The Bank’s Anti-Corruption Guidelines and this annex apply with respect to procurement under Bank Investment Project Financing operations.
2. **Requirements**
3. The Bank requires that Borrowers (including beneficiaries of Bank financing); bidders (applicants/proposers), consultants, contractors and suppliers; any sub-contractors, sub-consultants, service providers or suppliers; any agents (whether declared or not); and any of their personnel, observe the highest standard of ethics during the procurement process, selection and contract execution of Bank-financed contracts, and refrain from Fraud and Corruption.
4. To this end, the Bank:
5. Defines, for the purposes of this provision, the terms set forth below as follows:
6. “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
7. “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;
8. “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
9. “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
10. “obstructive practice” is:
11. deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
12. acts intended to materially impede the exercise of the Bank’s inspection and audit rights provided for under paragraph 2.2 e. below.
13. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/ or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
14. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring misprocurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;
15. Pursuant to the Bank’s Anti-Corruption Guidelines, and in accordance with the Bank’s prevailing sanctions policies and procedures, may sanction a firm or individual, either indefinitely or for a stated period of time, including by publicly declaring such firm or individual ineligible (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner;[[15]](#footnote-16) (ii) to be a nominated[[16]](#footnote-17) 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;
16. Requires that a clause be included in bidding/request for proposals documents and in contracts financed by a Bank loan, requiring (i) bidders (applicants/proposers),, consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel, permit the Bank to inspect[[17]](#footnote-18) all accounts, records and other documents relating to relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the Bank.

PART 2 –Employer’s Requirements

Section VII. Employer’s Requirements

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Employer’s Requirements

***Notes on preparing the Employer’s Requirements***

*The Employer’s Requirements should be carefully prepared by experts who are familiar with the requirements and with the technical aspect of the Works. The Employer should remember that if any matters are not referered to or covered, the Contractor may well be releived of any responsibility in respect of such matters.*

*The Employer’s Requirements should specify the particular requirements of the completed Works, including functional requirements, quality and scope. The Employer’s Requirements shall also include relevant information about and without limitation on:*

1. *design and construction management requirements (data exchange, calculations, design, programing and/or monitoring software, formatting etc.);*
2. *design requirements (life cycle expectancy, compliance with Employer’s reference design and with other designs agreed in the Letter of Accptance, compliance with performance or Materials and workmanship specifications, if any, etc.)*
3. *investigations and testing of Goods with long lead times;*
4. *quality requirements and quality testing instructions;*
5. *survey and monitoring instructions (subsurface and above surface, interfaces, information and alarm systems, etc.)*
6. *the Contractor’s Key Equipment;*
7. *expected utilities and treatment thereof.*

*In addition, the Employer’s Requirements shall include the Employer’s reference design and corresponding drawings, based on the preliminary investigations and the analyses of the relevant data consistent with the Geotechnical Base Line Reprt (GBR).*

*If the Works are to include fixtures, fitting equipment (for example, sepertaed ventilation or utility ducts, runing surfaces, drainage within the Lining Works etc.) and other similar items, the scope of such work must be defined in the Employer’s Requirements, including the extent to which the Works are to be fully equipped, ready for operation, with spare parts and consumables provided for operation (for a specified period), typically by the Employer. If the Contractor is required to operate the Works, either for a few months’ trial operation under sub-paragraph (c) Sub-Clause 9.1 [ Contractor’s Obligations] or for some years’ operation, this should be specified and detailed in the Employer’s Requirements.*

*The Employer’s Requirements must be drawn up to permit the widest, possible competition and, at the same time, present a clear statement of the required standards of workmanship, materials performance and/or functions of the Works. The Employer’s Requirements should stipulate that all goods and materials to be incorporated in the Works are new, unused, of the most recent or current models and incorporate all recent improvements in design and materials.*

*Care must be taken when drafting the Employer’s Requirements to ensure that the requirements are not restrictive. Recognized international standards should be used as much as possible for the description of goods, materials and workmanship. Where other particular standards are specified, whether national standards of the Borrower’s country or other standards, it should be stated that goods, materials and workmanship meeting other authoritative standards and which promise to ensure equal or higher quality than the standards specified, will also be acceptable. Where a brand name of a product is specified it should always be qualified with the terms “or equivalent”.*

*The Employer should carry-out appropriate pre-contract actions including:*

*appropriate ES assessment and risk mitigation ( see Environmental and Social (ES) requirements sub-section in this Section VII);*

*Site Investigations (Sub-Clause 2.5)*

*Site Investigations should provide a sufficient range of information commensurate with the size, nature and complexities of the contract and cover at the least the following:*

1. *Adjacent Property and Relations with Third Parties (Sub-Clause 2.1;*
2. *Access to the Site and Working Areas (Sub-Clause 2.1, 4.13,4.14 and 4.15): Permission for and physical access to the Site as well as availability of the working areas on-and off-Site should be investigated prior to issuance of the RFP. Sufficient time, should be allocated for the related permananet or temporary expropiation and/or possession of the requistte areas if required;*
3. *Geology, hydrogeology, Hydrology and Geotechnics (Sub-Clause 4.10): The relevant data for the realization of the Works should be collected, analyzed and, if applicable, monitored. Investigations may include, among others, extensive study of available literature and data, geophysical surveys, destructive and non- destructive probe drilling, down-the hole- testing, surface testing and laboratory testing, as well as related digital modelling. The data, so collected, shall be identifed and described in the Geotechincal Data Report (GDR).*

 *Employer’s Reference Design ( GC Sub-Clauses 1.1.39,4.10 and 5.1): The Employer’s reference design should:*

1. *be compatible with the Employer’s Requirements, and the Employer’s preferred assessment of acceptable physical risks;*
2. *be based on and consistent with the conclusions of the preliminary investigations in the GDR;*
3. *cover the Permananent Works and the excavation and support procedure for the Underground Excavation and Lining Works; and*
4. *be consistent with the GBR and the various relevant Schedules.*

*The Employer’s reference design should be produced by a qualified and experienced designer and reviewed prior to issue.*

*Disposal of excavated and Waste Materials (GC Sub-Clauses 7.1 and 7.8)*

*Appropriate disposal of excavated material is crucial to the success of the contract. Suitable treatment and diposal facilities of materials to be re-used or removed from the Underground Works should be explored and secured for the:*

1. *material to be exzcavated and/or recycled, and*
2. *typical waste material removed from the Works during construction including those subjected to varying degrees of contamination and/or hazardous slurries and water.*

*Material Testing*

*Critical parts of Underground Works may be difficult to access after construction. Their durability is essential. If no long-term performance data is available for the materials and systems to be provided for any such part of the Works, either accelerated testing of such materials should be undertaken, or access be ensured by partcualr arrangements. Such situations should be identified at an early stage in the risk assessment of the contract.*

*The Employer’s Requirements should include,* ***as appropriate****, information of a technical nature for the following* *non-exhaustive list of Sub-Clauses of the Conditions of Contract that make reference to matters to be included in the Employer’s Requirements. However, it may also be necessary under other Sub-Clauses for the Employer to give specific information in the Employer’s Requirements e.g. Sub-Clause 7.2 [ Samples]. For additional information to be included in regards to Environmental and Social (ES) aspects, please see “Environmental and Social requirements below”.*

| ***Sub-Clause No.*** |  ***Sub-Clause*** | ***Remarks*** |
| --- | --- | --- |
| *1.8* |  *Care and Supply of Documents* |  |
| *1.9* | *Errors in the Employer’s Requirements and/or in the Geotechnical Baseline Report* |  |
| *1.11* | *Contractor’s Use of Employer’s Documents* |  |
| *1.13* |  *Compliance with Laws* |  |
| *1.16* | *Contract Risk Register and Contract Risk Management Plan*  |  |
| *2.1* | *Right of Access to the Site* | *Please also refer to Sub-Clause 2.1 (Part A- Contract Data) to ensure consistency and applicability.* |
| *2.5* | *Site Data and Items of Reference* |  |
| *2.6* | *Employer-Supplied materials and Employer’s Equipment* |  |
| *4.1* |  *Contractor’s General Obligations* |  *This is also included under “Environmental and Social Requirements” below.* |
| *4.5*  | *Nominated Subcontractors* | *If any* |
| *4.6* | *Cooperation* | *This is also included under “Environmental and Social Requirements” below.* |
| *4.8* | *Health and Safety Obligations*  |  *This is also included under “Environmental and Social Requirements” below.* |
| *4.9* | *Quality Management and Compliance Verification Systems* |  |
| *4.10*  | *Use of Site Data, of the Geotechnical Baseline Report and of the Geotechnical Data Report* | *Also mentioned above.* |
| *4.16* | *Transport of Goods* |  |
| *4.17* | *Contractor’s Equipment* | *to be included in the section for specifying Contractor’s Key Equipment*  |
| *4.18* | *Protection of the Environment* | *This is also included under “Environmental and Social Requirements” below.* |
| *4.19* | *Temporary Utilities* |  |
| *4.20* | *Progress Reports* |  |
| *4.24*  | *Excavation and Lining Works*  |  |
| *4.25* | *Milestones* |  |
| *5.1* | *General Design Obligations* | *Proposers should be advised of the extent to which the Employer’s reference design is a suggestion or a requirement* |
| *5.2* | *Contractor’s Documents*  |  *As appropriate, specify which Contractor’s Documents the Employer requires the Contractor to prepare and identify which of the Contractor’s Documents the Employer requires the Contractor to submit to the Engineer for Review. As appropriate, also include any applicable requirements for mandatory review/checking and/or verification of, for example, design of structural elements by competent autthorities or proffesionals. If so, include: (i) the processes required and whether, and to what extent, such reviews and/or verification of an element of design (and the Contarctor’s documents associated with such element) shall replace the Engineer’s review under this Sub-Clause.*  |
| *5.4* | *Technical Standards and Regulations* | *This is also included under “Environmental and Social Requirements” below.* |
| *5.5*  | *Training*  |  |
| *5.6* | *As- Built Records* |  |
| *5.7* | *Operation and Maintenance Manuals*  |  |
| *6.6* | *Facilities for Staff and Labour* |  |
| *6.7* | *Health and Safety of Personnel* |  |
| *6.12*  | *Key Personnel* |  |
| *7.3* | *Inspection* |  |
| *7.4* | *Testing by the Contractor* |  |
| *7.8* | *Royalties* |  |
| *8.3* | *Programme* | *Recommended that the programming software that is perferable to the Engineer (in its monitoring of the Contractor’s progress in executing the Works) be clearly identified* |
| *9.1* | *(Tests on Completion)- Contractor’s Obligations* |  |
| *10.2* | *Taking Over Parts* |  |
| *11.11* | *Clearance of Site* |  |
| *12.1*  | *Procedure for Tests after Completion* |  |
| *13.1* | *Right to Vary* |  |

***Any additional******sustainable procurement technical requirements*** *(beyond the ES requirements stated in the Environmental and Social Requirements section below) for the Works shall be clearly specified. Please refer to the Bank’s Procurement Regulations for Borrowers and Sustainable procurement guidance notes for further information. The sustainable procurement requirements shall be specified to enable evaluation of such requirements on a pass/fail basis and/or rated criteria (point system), as appropriate. To encourage Proposers’ innovation in addressing sustainable procurement requirements, as long as the Proposal evaluation criteria specify the mechanism for monetary adjustments and/or rated criteria evaluation for the purpose of Proposals comparison, Proposers may be invited to offer Works that exceed the specified minimum sustainable procurement requirements.*

Environmental and Social (ES) requirements

*The Employer’s team preparing the ES requirements should include a suitably qualified Environmental and Social specialist/s.*

*In preparing detailed specifications for ES requirements the Borrower should refer to and consider the applicable environmental and social standards in the ESF including the specific requirements set out in the Environmental and Social Commitment Plan (ESCP), EHSGs and other GIIP as well as SEA and SH prevention and management obligations.*

*The ES requirements should be prepared in manner that does not conflict with the relevant General Conditions (and the corresponding Particular Conditions if any) and other parts of the Employer’s Requirements.*

*The following is a non-exhaustive list of Sub-Clauses of the Conditions of Contract that make reference to ES matters stated in the Employer’s Requirements*

| **Sub-Clause/Clause No.** |  **Sub-Clause/Clause** | **Remarks** |
| --- | --- | --- |
| *4.6* | *Co-operation* | *Indicate specific aspects (if any) that require contractor’s cooperation such as to conduct environmental and social assessment.* |
| *4.8* | *Health and Safety Obligations* | *Indicate if there would be a health service provider**Indicate if access to or provision of services that accommodate physical, social and cultural needs of Contractor’s Personnel is required.**Indicate any additional requirements for the health and safety manual*  |
| *4.18* | *Protection of the Environment* | *Specify any values for emissions, surface discharges, effluent and any other pollutants from the Contractor’s activities that shall not be exceeded. The Contractor’s C-ESMP shall set out the measures the Contractor will take to ensure compliance with these limit values.*  |
| *4.21* | *Security of the Site* | *State any additional requirements for the security arrangements (ESS4 of the ESF states the principles of porportionality, GIIP and applicable Laws. Include any other requirement set out in the ESCP.* |
| *4.23 (c)*  | *Archeological and Geological Findings* | *Specify other requirements if any in accordance with the ESF – ESS8* |
| *5.4* | *Technical Standards and Regulations* | *State any:** *applicable technical standards and requirements including to address:*
* *climate change considerations,*
* *universal access,*
* *risks of the public’s potential exposure to operational accidents or natural hazards, including extreme weather events,*
 |
| *6.2* |  *Rate of Wages and Conditions of Labour* | *State applicable requirements in accordance with the labour management procedure.* |
| *6.5* | *Working Hours* | *State applicable requirements in accordance with the labour management procedure.* |
| *6.28* | *Traning of Contractor’s Personnel* | *As set out in the ESCP, specify, , details of any training to relevant Contractor’s Personnel to be provided by the Employer’s Personnel on environmental and social aspects. (*whom, what, when, where, how long etc.) |

*In addition to provisions in the above table, the Employer shall specify the following as applicable.*

***Management and Safety of Hazardous Materials***

*As applicable, specify requirements for the management and safety of hazardous materials (see ESF - ESS4 para. 17 and 18* *and relevant guidance notes).*

***Resource Efficiency and Pollution Prevention and Management***

*As applicable specify Resource Efficiency and Pollution Prevention and Management measures (see ESF -ESS3 and relevant guidance notes).*

* ***Resource efficiency***

*The Employer shall specify, as applicable, measures for improving efficient consumption of energy, water and raw materials, as well as other resources.*

* ***Energy:*** *When the Works have been assessed to involve a potentially significant use of energy, specify any applicable measures to optimize energy usage.*
* ***Water:*** *When the Works have been assessed to involve a potentially significant use of water or will have potentially significant impacts on water quality, specify any applicable measures that avoid or minimize water usage so that the Works’ water use does not have significant adverse impacts on communities, other users and the environment.*
* ***Raw material:*** *When the Works have been assessed to involve a potentially significant use of raw materials, specify any applicable measures to support efficient use of raw materials.*
* ***Pollution prevention and management***
* ***Management of air pollution:*** *specify any measure to avoid or minimize Works related air pollution. See also Sub-Clause 4.18 of the Special Provisions and the table above on Conditions of Contract that make reference to ES matters in the Employer’s Requirements.* ***Management of hazardous and nonhazardous wastes:*** *specify any applicable measures to minimize the generation of waste, and reuse, recycle and recover waste in a manner that is safe for human health and the environment including storage, transportation and disposal of hazardous wastes. See also Sub-Clauses 4.8 and 4.18 of the Special Provisions and the table above on Conditions of Contract that make reference to ES matters in the Employer’s Requirements.*
* ***Management of chemicals and hazardous materials:*** *specify any applicable measures to**minimize and control the release and use of hazardous materials for Works activities including the production, transportation, handling, and storage of the materials. See also Sub-Clauses 4.8 and 4.18 of the Special Provisions and the table above on Conditions of Contract that make reference to ES matters in the Employer’s Requirements.*
* ***Biodiversity Conservation and Sustainable Management of Living Natural Resources***

*The Employer shall specify, as applicable, Biodiversity Conservation and Sustainable Management of Living Natural Resources (see ESF - ESS6 and relevant guidance notes). This includes, as applicable:*

* *invasive alien species: managing the risk of invasive alien species during the execution of the Works;*
* *sustainable management of living natural resources; and*
* *certification and verification requirements for the supply of natural resource materials where there is a risk of significant conversion or significant degradation of natural or critical habitats.*

*See also Sub-Clause 4.18 of the Special Provisions and the table above on Conditions of Contract that make reference to ES matters in the Employer’s Requirements.*

***Road Safety***

* *State any specific traffic and road safety requirement, as applicable.* *See also Sub-Clause 4.15 of the Special Provisions. For details, refer to the Guidance Note on Road safety.*

**SPECIFIED PROVISIONAL SUMS for ES OUTCOMES**

*The Proposal price includes all of the Contractor’s ES obligations under the Contract. Provisional sums may be specified by the Employer for achieving specific ES outcomes. (e.g.* *for HIV counselling service, and SEA and SH awareness and sensitization or to encourage the contractor to deliver ES outcomes beyond the requirement of the Contract*).

Scope of the Works

*[Insert scope]*

Site Data and Items of Reference

*[In accordance with GC Sub-Clause 2.5, the Employer shall provide all relevant data in its possesion on the topography of the Site, on hydrological, claimatic and environemntal conditions at the Site and adjacent property, and on the geological, geotechnical and hydrological data of the subsurface of the Site.*

*The orginal survey control points, lines and levfels of reference (the “items of reference” in the Conditions of Contract) shall be specified in the Employer’s Requirements or issued to the Contractor by a Notice from the Engineer.*

*In partcular, the Employer shall provide: (a) the Geotechnical Base Line Report; and (b) the Geotechnical Data Report (GDR).]*

The Geotechnical Baseline Report (GBR)

*[The Employer shall provide the Geotechnical Basel Line Report. The GBR allocates the subsurface risks between the Employer and the Contractor for the elements of work as set out in the Schedule of Baselines.Consequently, it is the single source contractual document that describes the anticiapted subsurface conditions to be encountered in bthe excution of the Works. The GBR contains descriptions, data, information, and warnings of anticipated physical and behavioral conditions. The GBR is used to design the work, plan and equip the excavation process, and help adjudicate disputes with unforseen subsurface physical conditions.*

*The design concept selected by the Employer and the interpretaions stated in the GBR collectively represent the Employer’s preffered risk allocation for the subsurface physical conditionsFor more information on GBR and and content recommendation*

*For more information on GBR and proposed content recommendations, see the relevant guidance included in the Conditions of Contract for Underground Works (Emerald book).]*

The Geotechnical Data Report (GDR)

*[The Employer shall provide the Geotechnical Data Report (GDR). As stated in GC Sub-Clause 1.1.52, the Geotechnical Data Report (GDR) should specify the geological, geotechnical and hydrological data deemed to be in the Employer’s possession at the Base Date. The GDR collates all geotechnical and related data as described under Sub-Clause 2.5 [ Site Data and Items of Reference]. References to investigations and assessment of foundation methods, structural integrity and status etc., which have been alyzed and reported elsehwhere should be sumarized in the GDR.]*

Contractor’s Representative and Key Personnel

*[****Note: Insert in the following table, the minimum key specialists required to execute the contract, taking into account the nature, scope, complexity and risks of the contract****.]*

**Contractor’s Representative and** **Key Personnel**

|  |  |  |  |
| --- | --- | --- | --- |
| **Item No.** | **Position/specialization** | **Relevant academic qualifications** | **Minimum years of relevant work experience** |
| *1* | *[Contractor’s Representative]* | *e.g. degree in relevant field.* | *e.g.[years]* working on road projects in similar work environments |
| ***Key Personnel for Design*** |
| *2.* | *[Design Manager]* |  |  |
| *3.* | *[Environmental Impact Assessment Specialist]* |  |  |
| *4.* | *[Social Impact Assessment Specialist]* |  |  |
| *5.* | *[Health and Safety Specialist]* |  |  |
| *6.* | *[Biodiversity, Air quality, Noise etc. Specialists]* |  |  |
| ***Key Personnel for Construction*** |
| *7.* | *[Construction Manager]* |  |  |
| *8.* | *[Environmental Specialist]* |  |  |
| *9.* | *[Health and Safety Specialist]* |  |  |
| *10.* | *[Social Specialist]* |  |  |
| *12.* | *[Biodiversity, Air quality, Noise etc. Specialists]* |  |  |
| *13.* | *Survey Manager* |  |  |
| *14.* | *Sexual Exploitation, Abuse and Harassment Expert(s)* *[Where a Project SEA risks are assessed to be substantial or high, Key Personnel shall include an expert (s) with relevant experience in addressing sexual exploitation, sexual abuse and sexual harassment cases]* |  | [e.g. 5 years of monitoring and managing risks related to gender-based violence, out of which 3 years of relevant experience in addressing issues related to sexual exploitation, *sexual abuse and sexual harassment*] |
| *15.* | ***[Modify/add others as appropriate]*** |  |  |

Contractor’s Key Equipment

*[Specify Key Equipment, as appropriate, to be completed by the Proposer in accordance with Form EQU in Section IV-Proposal Forms.]*

Specifications

*[insert specifications]*

Drawings

Supplementary Information

PART 3 – Conditions of Contract and Contract Forms

Section VIII - General Conditions (GC)

|  |
| --- |
| **Emerald Book**:© FIDIC 2019. All rights reserved.The Conditions of Contract are the “General Conditions” which form part of the “Conditions of Contract for Underground Works (“Emerald book”) 2019” published by the Federation Internationale Des Ingenieurs – Conseils (FIDIC) and the following “Particular Conditions” which comprise of the *World Bank’s* COPA and the amendments and additions to such General Conditions.An original copy of the above FIDIC publication i.e. “Conditions of Contract for Underground Works” must be obtained from FIDIC.**International Federation of Consulting Engineers (FIDIC)**FIDIC Bookshop – Box- 311 – CH – 1215 Geneva 15 SwitzerlandFax: +41 22 799 49 054Telephone: +41 22 799 49 01E-mail: fidic@fidic.org[www.fidic.org](http://www.fidic.org)FIDIC code: ISBN13: 978-2-88432-087-0 |

|  |
| --- |
| Section IX - Particular Conditions (PC) |

The following Particular Conditions shall supplement the General Conditions. Whenever there is a conflict, the provisions herein shall prevail over those in the General Conditions.

**Particular Conditions**

**Part** **A – Contract Data**

| **Conditions** | **Sub-Clause** | **Data** |
| --- | --- | --- |
| Base Date | 1.1.4 | \_\_----- *[If the Employer makes significant data/information available to Proposers 28 days or less before the latest deadline for submission of Proposals, the Employer should consider revising this date]* |
| Completion Schedule | 1.1.8 | Attached as Particular Conditions Part A- Completion Schedule |
| Where the Contract allows for Cost Plus Profit, percentage profit to be added to the Cost | 1.1.26 | \_\_\_\_\_\_% |
| Employer’s name and address | 1.1.36 |  |
| Engineer’s name and address | 1.1.41 |  |
| Site | 1.1.77 | *[Describe any other places as forming part of the Site]* |
| Schedule of Baselines | 1.1.84 | Attached as Particular Conditions Part A- Schedule of Baselines  |
| Time for Completion | 1.1.99 | \_\_\_\_\_\_\_\_\_\_\_\_\_days *If Sections are to be used, refer to Table: Summary of Sections below* |
| Bank’s name  | 1.1.105 |  |
| Borrower’s name  | 1.1.106 |  |
| Defects Notification Period | 1.1.33 | 365 days (one year) |
| Sections | 1.1.89 | *If Sections are to be used, refer to Table: Summary of Sections below* |
| Milestones | 1.1.63 | *For events defined as milestone in the Completion Schedule, refer to Table: Definition of Milestones below* |
| Electronic transmission system | 1.3 (a) (ii)  |  |
| Address of Employer for communications: | 1.3(d) |  |
| Address of Engineer for communications: | 1.3(d) |  |
| Address of Contractor for communications: | 1.3(d) |  |
| Governing Law | 1.4 |  |
| Ruling language | 1.4 |  |
| Language for communications | 1.4 |  |
| Time for the Parties to sign a Contract Agreement | 1.6 | 28 days after receipt of the Letter of Acceptance |
| Number of additional paper copies of Contractor’s Documents | 1.8 |  |
| Total liability of the Contractor to the Employer under or in connection with the Contract | 1.15 | *\_\_\_\_\_\_\_\_\_\_ (sum)* |
| Time for access to the Site | 2.1 | *[ Ideally, the right of access to and possession of all parts of the Site shall be given by the Commencement Date. If this is the case, insert: “No later than the Commencement Date”* *[If it is not practical or feasible to give the right of access to and possession of all parts of the Site by the Commencement Date, select either of the following options and delete the remaining text in this Particular Conditions, Sub-Clause 2.1:**Option 1**“No later than the Commencement Date, except for the following parts ((include description of parts concerned) in a time and manner stated in the Employer’s Requirements.”**Option 2* *“No later than the Commencement Date, except for the following parts (include description of parts concerned): within such times as may be required to enable the Contractor to proceed in accordance with the Programme or, if there is no Programme at that time, the initial programme submitted under Sub-Clause 8.3 [Programme”]]*  |
| Engineer’s Duties and Authority | 3.2  | Variations resulting in an increase of the Accepted Contract Amount in excess of \_\_\_\_% shall require written consent of the Employer.  |
| Performance Security | 4.2 | The Performance Security will be in the form of a \_\_\_\_ [*insert either one of “demand guarantee” or “performance bond”*] in the amount(s) of [*insert % figures*] percent of the Accepted Contract Amount and in the same currency (ies) of the Accepted Contract Amount. |
| Environmental and Social (ES) Performance Security | 4.2 | [*Delete this provision if ES Performance Security is not required*.]The ES Performance Security will be in the form of a “demand guarantee” in the amount(s) of [*insert % figure(s) normally 1% to 3%*] of the Accepted Contract Amount and in the same currency (ies) of the Accepted Contract Amount.[*The sum of the total “demand guarantees” (Performance Security and ES Performance Security) shall normally not exceed 10% of the Accepted Contract Amount.]* |
| Maximum allowable accumulated value of work subcontracted (as a percentage of the Accepted Contract Amount) | 4.4(a)  | \_\_\_\_\_\_\_% |
| Parts of the Works for which subcontracting is not permitted | 4.4(b) |  |
| Period for notification of errors in the items of reference | 4.7.2 | \_\_\_\_\_\_\_\_\_\_\_ days *“[state number of days, normally not less than 28 days]”* |
| Period of payment for temporary utilities | 4.19 | \_\_\_\_\_\_\_\_\_\_\_ days |
| Number of additional paper copies of progress reports | 4.20 |  |
| Normal working hours | 6.5 |  |
| Number of additional paper copies of program | 8.3 |  |
| Delay damages payable for each day of delay  | 8.8  | “ \_\_\_\_\_\_\_\_ % of the Accepted Contract Amount, less provisional sum for DAAB. *[If Sections and/ or Milestones are to be used, refer to Table: Definition of Sections and Table: Definition of Milestones below]* |
| Maximum amount of delay damages | 8.8 | \_\_\_\_\_\_% of the Accepted Contract Amount less provisional sum for DAAB. *[normally not exceeding 10%]* |
| Percentage rate to be applied to Provisional Sums for overhead charges and profit | 13.4 (b)(ii) | \_\_\_\_\_\_\_% |
| Responsibility for measurement | 13.8.1 | Intervals for measurement: \_\_\_\_\_Months |
| Responsibility for measurement | 13.8.1 | Method of measurement for the Schedule of Baselines document reference number \_\_\_\_\_\_\_ |
| Responsibility for measurement | 13.8.1 | Method of measurement for the Bill of Quantities document reference number \_\_\_\_\_\_\_ |
| Total advance payment  | 14.2 | \_\_\_\_\_\_\_\_ % Percentage of the Accepted Contract Amount payable in the currencies and proportions in which the Accepted Contract Amount is payable |
| Repayment of Advance payment | 14.2.3 | (a) exceeds \_\_\_\_\_\_% of the portion of the Accepted Contract Amount payable in that currency less Provisional Sums (b) deductions shall be made at the amortisation rate of \_\_\_\_\_\_\_\_%\_ [*provided that the advance payment shall be completely repaid prior to the time when 90 percent (90%) of the Accepted Contract Amount less Provisional Sums has been certified for payment*]*]*  |
| Period of payment | 14.3 |  |
| Number of additional paper copies of Statements | 14.3(b) |  |
| Percentage of retention | 14.3(iv) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_% *[Insert percentage of retention, normally 5% and not exceeding 10%]* |
| Limit of Retention Money (as a percentage of Accepted Contract Amount) | 14.3(iv) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_% *[Insert percentage of retention, normally 5% and not exceeding 10%]* |
| Plant and Materials | 14.5(b)(i) | If Sub-Clause 14.5 applies:Plant and Materials for payment when shipped \_\_\_\_\_\_\_\_\_\_\_\_\_\_ *[list].* |
| 14.5(c)(i) | Plant and Materials for payment when delivered to the Site \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ *[list].* |
| Minimum Amount of Interim Payment Certificates | 14.6.2 | \_\_\_\_\_\_\_\_\_\_\_\_\_ % of the Accepted Contract Amount. |
| Period of payment of Advance Payment to the Contractor  | 14.7(a) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_days *[insert number of days, normally 28 days]* |
| Period for the Employer to make interim payments to the Contractor under Sub-Clause 14.6 (interim Payment) | 14.7b(i) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_days *[insert number of days, normally 56 days]* |
| Period for the Employer to make interim payments to the Contractor under Sub-Clause 14.13 (Final Payment) | 14.7b(ii) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_days *[insert number of days, normally 28 days]* |
| Period for the Employer to make final payment to the Contractor | 14.7(c) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_days *[insert number of days, normally 56 days]* |
|  financing charges for delayed payment (percentage points above the average bank short-term lending rate as referred to under sub-paragraph (a)) | 14.8 | \_\_\_\_\_%  |
| Number of additional paper copies of draft Final Statement | 14.11.1(b) |  |
| Forces of nature, the risks of which are allocated to the Contractor | 17.2(d) |  |
| Permitted deductible limits | 19.1 | insurance required for the Works: \_\_\_\_\_\_\_\_\_\_\_ insurance required for Goods:\_\_\_\_\_\_\_\_\_\_\_\_\_ insurance required for liability for breach of professional duty:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ insurance required against liability for fitness for purpose (if any is required):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ insurance required for injury to persons and damage to property:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ insurance required for injury to employees: \_\_other insurances required by Laws and by local practice: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Additional amount to be insured (as a percentage of the replacement value, if less or more than 15%) | 19.2.1(b) | *\_\_\_\_\_\_\_\_%* |
| List of Exceptional Risks which shall not be excluded from the insurance cover for the Works | 19.2.1(iv) |  |
| Extent of insurance required for Goods | 19.2.2 |  |
| Amount of insurance required for Goods |  |
| amount of insurance required for liability for breach of professional duty | 19.2.3(a) |  |
| Insurance required against liability for fitness for purpose  | 19.2.3(b) | Yes/No [ *delete as appropriate*] |
| Period of insurance required for liability for breach of professional duty | 19.2.3 |  |
| Amount of insurance required for injury to persons and damage to property | 19.2.4 |  |
| Other insurances required by Laws and by local practice (give details) | 19.2.6 |  |
| Time for appointment of DAAB member(s) | 21.1  | 42 days after signature by both parties of the Contract Agreement |
| The DAAB shall be comprised of | 21.1  | Either: One sole Member or: Three Members*[For a Contract estimated to cost above USD 50 million, the DAAB shall comprise of three members. For a Contract estimated to cost between USD 20 million and USD 50 million, the DAAB may comprise of three members or a sole member. For a Contract estimated to cost less than USD 20 million, a sole member is recommended.]* |
| List of proposed members of DAAB | 21.1  | Proposed by Employer [*Attach CVs to the request for proposals document and the Contract*]*1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**2.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**3.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*Proposed by Contractor [*Attach CVs to the Contract*]*1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**2.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**3.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
| Appointment (if not agreed) to be made by | 21.2  | *[Insert name of an international organization or official as the appointing entity or official]* |

**Table: Definition of Sections (if any):**

|  |  |  |  |
| --- | --- | --- | --- |
| **Description of parts of the Works that shall be designated a Section for the purposes of the Contract (Sub-Clause 1.1.89)** | **Value: Percentage\* of Accepted Contract Amount (Sub-Clause 14.9)** | **Time for Completion****(Sub-Clause 1.1.99)** | **Delay Damages** **(Sub-Clause 8.8)** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**\***These percentages shall also be applied to each half of the Retention Money under Sub-Clause 14.9

**Table: Definition of Milestones:**

|  |  |  |
| --- | --- | --- |
| **Description of the event that does not correspond with the whole of the Works or with any Section and is designated a Milestone for the purposes of the Contract** | **Time for Completion****(Calculated from the Commencement Date) (Sub-Clause 1.1.99)** | **Delay Damages** **(as a percentage of final Contract Price per day of delay)** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

Maximum amount of Delay damages for Milestones (percent of final Contract Price): \_\_\_\_%

**Part A –Completion Schedule**

***[ Attach the Contractually agreed Completion Schedule]***

**Part A –Schedule of Baselines**

***[ Attach the Contractually agreed Schedule of Baselines]***

**Part B – Special Provisions**

|  |  |
| --- | --- |
| Sub-Clause 1.1.4 Base Date | Sub-Clause 1.1.4 is replaced with the following: “Unless stated otherwise in the Contract Data, Base Date means the date 28 days before the latest date for submission of the Tender. |
| Sub-Clause 1.1.57**Laws** | The Sub-Clause is replaced with: ““**Laws**” means all national (or state) legislation, statutes, ordinances and other laws, and regulations and by-laws of any legally constituted public authority.” |
| Sub-Clause 1.1.70Particular Conditions | The Sub-Clause is replaced with:  ““Particular Conditions” means the document entitled particular conditions included in the Contract, which consists of Part A- Contract Data, Part B- Special Provisions, Part C- Fraud and Corruption and Part D- Environmental and Social (ES) Metrics for Progress Reports.” |
| Sub-Clause 1.1.90Site | The Sub-Clause is replaced with: “**Site**” means the places where the Permanent Works are to be executed, including storage and working area, and to which Plant and Materials are to be delivered, and any other places specified in the Contract as forming part of the Site.” |
| Sub-Clause 1.1.96 Tender | The following is added at the end of the sentence. “Tender is synonymous with “Proposal”, “tenderer” with “Proposer”, “tender documents” with “request for proposals documents”  |
| **Sub-Clause 1.1.105 to 1.1.108 are added after Sub-Clause 1.1.104** |
| **Sub-Clause 1.1 105** **Bank** | “**Bank**” means the financing institution (if any) named in the Contract Data. |
| Sub-Clause 1.1.106Borrower  | “**Borrower**” means the person (if any) named as the borrower in the Contract Data. |
| Sub-Clause 1.1.107ES | “**ES**” means Environmental and Social (including Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH)). |
| Sub-Clause 1.1.108Sexual Exploitation and Abuse (SEA), and Sexual Harassment (SH) | “**Sexual Exploitation and Abuse” “(SEA)”** means the following:**Sexual Exploitation** is defined as any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. **Sexual Abuse** is defined as the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions; and **“Sexual Harassment” “(SH)”** is defined as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature by the Contractor’s Personnel with other Contractor’s or Employer’s Personnel. **“SEA/SH Prevention and Response Obligations”** means the Contractor’s obligations in regards to the prevention of and response to SEA/SH as set forth in Sub-Clauses 4.1, 4.4, 4.20, 4.25, 6.9, 6.27, and 6.28.  |
| Sub-Clause 1.2Interpretation | Sub-paragraph (a) is replaced with the following: 1. “Words indicating one gender include all genders;

 “he/she” is replaced with:” it”;“him/her” is replaced with “it”;“his” and “his/her” are replaced with: “its”; “himself/herself” are replaced with: “itself”.”Further, “and” is deleted from the end of sub-paragraph (i) and added at the end of sub-paragraph (j). sub-paragraph (k) is added:(k) “The word “tender” is synonymous with “bid” or “proposal”, the word tenderer with “bidder” or “proposer” and the words “tender documents” with “request for bids documents” or “request for proposal documents”, as applicable.” |
| Sub-Clause 1.5**Priority of Documents** | The following documents are added in the list of Priority Documents after (e): “(f) the Particular Conditions Part C- Fraud and Corruption;(g) the Particular Conditions Part D- Environmental and Social (ES) Metrics for Progress Reports;”(h) Particular Conditions- Part E- Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment Performance Declaration for Subcontractors; and the list renumbered accordingly. |
| Sub-Clause 1.6Contract Agreement | The last paragraph is replaced with:“If the Contractor comprises a JV, the authorised representative of the JV shall sign the Contract Agreement in accordance with Sub-Clause 1.14 (Joint and Several Liability).” |
| Sub-Clause 1.12**Confidentiality** | The following is added at the end of the second paragraph: “The Contractor shall be permitted to disclose information required to establish its qualifications to compete for other projects.”“or” at the end of (b) is deleted.“or” at the end of (c) is added.The following is then added as (d): “is being provided to the Bank.” |
| Sub-Clause 1.18**Inspections & Audit by the Bank** | The following Sub-Clause is added after Sub-Clause 1.17:“Pursuant to paragraph 2.2 e. of Particular Conditions - Part C- Fraud and Corruption, the Contractor shall permit and shall cause its agents (where declared or not), subcontractors, subconsultants, service providers, suppliers, and personnel, to permit, the Bank and/or persons appointed by the Bank to inspect the site and/or the accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have such accounts, records and other documents audited by auditors appointed by the Bank. The Contractor’s and its Subcontractors’ and subconsultants’ attention is drawn to Sub-Clause 15.8 (Fraud and Corruption) which provides, inter alia, that acts intended to materially impede the exercise of the Bank’s inspection and audit rights constitute a prohibited practice subject to contract termination (as well as to a determination of ineligibility pursuant to the Bank’s prevailing sanctions procedures).” |
| Sub-Clause 2.4**Employer’s Financial Arrangements** | The first paragraph is replaced with:“The Employer shall submit, before the Commencement Date, reasonable evidence that financial arrangements have been made for financing the Employer’s obligations under the Contract.”The following sub-paragraph is added at the end of Sub-Clause 2.4:“In addition, if the Bank has notified to the Borrower that the Bank has suspended disbursements under its loan, which finances in whole or in part the execution of the Works, the Employer shall give notice of such suspension to the Contractor with detailed particulars, including the date of such notification, with a copy to the Engineer, within 7 days of the Borrower having received the suspension notification from the Bank. If alternative funds will be available in appropriate currencies to the Employer to continue making payments to the Contractor beyond a date 60 days after the date of Bank notification of the suspension, the Employer shall provide reasonable evidence in its notice of the extent to which such funds will be available.” |
| Sub-Clause 2.6Employer-Supplied Materials and Employer’s Equipment | [If Employer- Supplied Materials are listed in the Employer’s Requirements for the Contractor’s use in the execution of Works, the following provisions may be added]:The following is added after the last paragraph of Sub-Clause 2.6:“The Employer shall supply to the Contractor the Employer-Supplied Materials listed in the Employer’s Requirements, at the time(s) stated in the Employer’s Requirements (if not stated, within the times that shall be required to enable the Contractor to proceed with execution of the Works in accordance with the Programme).When made available by the Employer, the Contractor shall visually inspect the Employer-Supplied Materials and shall promptly give a Notice to the Engineer of any shortage, defect or default in them. Thereafter, the Contractor shall rectify such shortage, defect or default to the extent instructed by the Engineer. Such instruction shall be deemed to have been given under Sub-Clause 13.3.1 [*Variation by Instruction*].After this visual inspection, the Employer-Supplied Materials shall come under the care, custody and control of the Contractor. The Contractor’s obligations of inspection, care, custody, and control shall not relieve the Employer of liability of any shortage, defect or default not apparent from a visual inspection.”[*If Employer’s Equipment are listed in the Employer’s Requirements for the Contractor’s use in the execution of Works, the following provisions may be added*]:The following is added after the last paragraph of Sub-Clause 2.6:“The Employer shall make the Employer’s Equipment listed in the Employer’s Requirements available to the Contractor at the time(s) stated in the Employer’s Requirements (if not stated, within the times that shall be required to enable the Contractor to proceed with execution of the Works in accordance with the Programme).Unless expressly stated otherwise in the Employer’s Requirements, the Employer’s Equipment shall be provided for the exclusive use of the Contractor.When made available by the Employer, the Contractor shall visually inspect the Employer’s Equipment and shall promptly give a Notice to the Engineer of any shortage, defect or default in them. Thereafter, the Contractor shall rectify such shortage, defect or default to the extent instructed by the Engineer. Such instruction shall be deemed to have been given under Sub-Clause 13.3.1 [*Variation by Instruction*].The Contractor shall be responsible for the Employer’s Equipment while it is under the Contractor’s control and/or any of the Contractor’s Personnel is operating it, driving it, directing it, using it, or in control of it.The Contractor shall not remove from the Site any items of the Employer’s Equipment without the consent of the Employer. However, consent shall not be required for vehicles transporting Goods or Contractor’s personnel to or from the Site.” |
| Sub-Clause 2.7SEA/SH Conference | The following new Sub-Clause is added “The Employer shall organize and run a SEA/SH orientation conference as soon as possible after the constitution of the DAAB and prior to the commencement of any physical work. The SEA/SH orientation conference shall be attended by the Contractor, its Subcontractors, the Engineer, the DAAB members and all other relevant persons. The objective of the SEA/SH orientation conference shall be to ensure a common understanding of all SEA contractual requirements and remedies, including those available under Sub-Clause 21.9 [*SEA/SH Referrals*], Sub-Clause 21.10 [*Dissatisfaction with DAAB’s decision of SEA/SH Referrals*] and Sub-Clause 21.11 [*Bank’s disqualification of the Contractor and its Subcontractor/s*]. |
| Sub-Clause 3.1The Engineer | The following is added at the end of the first sub-paragraph: “The Engineer’s staff shall include suitably qualified engineers and other professionals who are competent to carry out these duties.” |
| Sub-Clause 3.2.1**Engineer’s General Duties and Authority** | The Engineer shall obtain the consent in writing of the Employer before taking action under the following Sub-Clauses of these Conditions:1. Sub-Clause 13.1: Right to vary - instructing a variation, except;
	* + 1. in an emergency situation as determined by the Engineer; or
			2. (if such a Variation would increase the Accepted Contract Amount by less than the percentage specified in the Contract Data.
2. Sub-Clause 13.2 (Value Engineering): stating consent or otherwise to a value engineering proposal submitted by the Contractor in accordance with Sub-Clause 13.2.

Notwithstanding the obligation, as set out above, to obtain consent in writing, if, in the opinion of the Engineer, an emergency occurs affecting the safety of life or of the Works or of adjoining property, it may, without relieving the Contractor of any of his duties and responsibility under the Contract, instruct the Contractor to execute all such work or to do all such things as may, in the opinion of the Engineer, be necessary to abate or reduce the risk. The Contractor shall forthwith comply, despite the absence of consent of the Employer, with any such instruction of the Engineer. The Engineer shall determine an addition to the Contract Price, in respect of such instruction, and EOT if any, in accordance with Clause 13 and shall notify the Contractor accordingly, with a copy to the Employer. |
| Sub-Clause 3.3**Engineer’s Representative** | The following is added at the end of Sub-Clause 3.3:“The Engineer shall obtain the consent of the Employer before appointing or replacing an Engineer’s Representative.” |
| Sub-Clause 3.4**Delegation by the Engineer** | The following is added at the end of the second paragraph: “If any assistants are not fluent in this language, the Engineer shall make competent interpreters available during all working hours, in a number sufficient for those assistants to properly perform their assigned duties and/or exercise their delegated authority.” |
| Sub-Clause 3.6**Replacement of the Engineer** | In the first paragraph, “42 days” is replaced with: “21 days”;  In the third para, “shall” is replaced with: “should”. |
| Sub-Clause 4.1**Contractor’s General Obligations** | The following is inserted after the paragraph “The Contractor shall provide the Plant (and spare parts, if any)…”:“All equipment, material, and services to be incorporated in or required for the Works shall have their origin in any eligible source country as defined by the Bank.” The following is inserted after the paragraph “The Contractor shall, whenever required by the Engineer...”:The Contractor shall not carry out mobilization to Site (e.g. clearance for haul roads, site accesses and work site establishment, geotechnical investigations or investigations to select ancillary features such as quarries and borrow pits) unless the Engineer gives consent, a consent that shall not be unreasonably delayed, to the measures the Contractor proposes to manage the environmental and social risks and impacts, which at a minimum shall include applicable Management Strategies and Implementation Plans (MSIPs) and applying the Code of Conduct for Contractor’s Personnel submitted as part of the Proposal and agreed as part of the Contract. The Contractor shall submit, to the Engineer for Review, any additional MSIPs as are necessary to manage the ES risks and impacts of ongoing Works (e.g. excavation, earth works, bridge and structure works, stream and road diversions, quarrying or extraction of materials, concrete batching and asphalt manufacture). These MSIPs collectively comprise the Contractor’s Environmental and Social Management Plan (C-ESMP). The Contractor shall review the C-ESMP, periodically (but not less than every six (6) months), and update it as required to ensure that it contains measures appropriate to the Works. The updated C-ESMP shall be submitted to the Engineer for Review.The C-ESMP shall be part of the Contractor’s Documents. The procedures for Review of the C-ESMP and its updates shall be as described in Sub-Clause 5.2.2 *[Review by Engineer].””*The following is added at the end of the Sub-Clause: “The Contractor shall provide relevant contract- related information, as the Employer and/or Engineer may reasonably request to conduct Stakeholder engagements. “Stakeholder” refers to individuals or groups who:* + - 1. are affected or likely to be affected by the Contract; and
			2. may have an interest in the Contract.

The Contractor shall also directly participate in Stakeholder engagements, as the Employer and/or Engineer may reasonably request.”  |
| Sub-Clause 4.2**Performance Security and ES Performance Security**  | The first paragraph is replaced with: “The Contractor shall obtain (at its cost) a Performance Security for proper performance and, if applicable, an Environmental and Social (ES) Performance Security for compliance with the Contractor’s ES obligations, in the amounts stated in the Contract Data and denominated in the currency(ies) of the Contract or in a freely convertible currency acceptable to the Employer. If amounts are not stated in the Contract Data, this Sub-Clause shall not apply.”In the following Sub-Clauses of the General Conditions, the term “Performance Security” is replaced with: “Performance Security and, if applicable, an Environmental and Social (ES) Performance Security”:2.1- Right of Access to the Site; 14.2- Advance Payment; 14.6- Issue of IPC;14.12- Discharge;14.13- Issue of FPC;14.14 Cessation of Employer’s Liability;15.2- Termination for Contractor’s Default;15.5- Termination for Employer’s Convenience. |
| Sub-Clause 4.2.1Contractor’sobligations | The first paragraph is replaced with:“The Contractor shall deliver the Performance Security and, if applicable, an ES Performance Security to the Employer within 28 days after receiving the Letter of Acceptance and shall send a copy to the Engineer. The Performance Security shall be issued by a reputable bank or financial institution selected by the Contractor and shall be in the form annexed to the Particular Conditions, as stipulated by the Employer in the Contract Data, or in another form approved by the Employer. The ES Performance Security shall be issued by a reputable bank selected by the Contractor and shall be in the form annexed to the Particular Conditions, as stipulated by the Employer in the Contract Data, or in another form approved by the Employer.”Thereafter, throughout Sub-Clause 4.2 “Performance Security” is replaced with: “Performance Security and, if applicable, ES Performance Security.”  |
| Sub-Clause 4.2.2**Claims under the Performance Security** | The first paragraph is replaced in its entirety with: “The Employer shall not make a claim under the Performance Security, except for amounts for which the Employer is entitled under the Contract.”  |
| Sub-Clause 4.2.3**Return of Performance Security** | In sub-paragraph (a) “21 days” is replaced with: “28 days”.  |
| Sub-Clause 4.3**Contractor’s Representative** | The following is added at the end of the last paragraph: “If any of these persons is not fluent in this language, the Contractor shall make competent interpreters available during all working hours in a number deemed sufficient by the Engineer.” |
| Sub-Clause 4.4 Subcontractors | The following is added at the beginning of the second paragraph.“The Contractor shall require that its Subcontractors execute the Works in accordance with the Contract, including complying with the relevant ES requirements and the SEA/SH Prevention and Response Obligations.All subcontracts relating to the Works shall include a provision stipulating that the Subcontractor accepts that the Bank may disqualify the Subcontractor from being awarded a Bank financed contract for a period of two years if the Subcontractor is determined to have failed to comply with its SEA/SH Prevention and Response Obligations.”The following is added after the first sentence of the fourth paragraph: “The Contractor’s submission to the Engineer shall also include such a Subcontractor’s declaration in accordance with the Particular Conditions- Part E-Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment Performance Declaration for Subcontractors.”The following is added at the end of the last paragraph of Sub-Clause 4.4:“All subcontracts relating to the Works shall include provisions which entitle the Employer to require the subcontract to be assigned to the Employer under sub-paragraph (a) of Sub-Clause 15.2.3 [*After Termination*].Where practicable, the Contractor shall give fair and reasonable opportunity for contractors from the Country to be appointed as Subcontractors.” |
| Sub-Clause 4.5.1Objection to nomination | In sub-paragraph (a) on the first line before “Subcontractor”, add “nominated”.In sub-paragraph (c): “and” is deleted from the end of (i); “.” at the end of (ii) is replaced with: “, and”. The following is then added as (iii):  “(iii) be paid only if and when the Contractor has received from the Employer payments for sums due under the Subcontract referred to under Sub-Clause 4.5.2 [ *Payment to nominated Subcontractors*].”  |
|  | The following is added after the first paragraph:“The Contractor shall also, as stated in the Employer’s Requirements or as instructed by the Engineer, cooperate with and allow appropriate opportunities for the Employer’s Personnel to conduct any environmental and social assessment.” |
| Sub-Clause 4.8**Health and Safety Obligations** | The following are included at the end of (g), after deleting “and” at the end of (f) and replacing “.” at the end of (g) with “;”: 1. “provide health and safety training of Contractor’s Personnel as appropriate and maintain training records;
2. actively engage the Contractor’s Personnel in promoting understanding, and methods for, implementation of health and safety requirements, as well as in providing information to Contractor’s Personnel, and provision of personal protective equipment without expense to the Contractor’s Personnel;

 1. put in place workplace processes for Contractor’s Personnel to report work situations that they believe are not safe or healthy, and to remove themselves from a work situation which they have reasonable justification to believe presents an imminent and serious danger to their life or health;
2. Contractor’s Personnel who remove themselves from such work situations shall not be required to return to work until necessary remedial action to correct the situation has been taken. Contractor’s Personnel shall not be retaliated against or otherwise subject to reprisal or negative action for such reporting or removal;
3. subject to Sub-Clause 4.6, collaborate with the entities and Personnel under paragraph (a) , (b) and (c) of Sub-Clause 4.6, in applying the health and safety requirements. This is without prejudice to the responsibility of the relevant entities for the health and safety of their own personnel; and
4. establish and implement a system for regular (not less than six-monthly) review of health and safety performance and the working environment.”

The second and third paragraphs are replaced with the following: “Subject to Sub-Clause 4.1,, the Contractor shall submit to the Engineer for Review a health and safety manual which has been specifically prepared for the Works, the Site and other places (if any) where the Contractor intends to execute the Works. The procedures for Review of the health and safety manual and its updates shall be as described in Sub-Clause 5.2 *[Contractor’s Documents]*.The health and safety manual shall be in addition to any other similar document required under applicable health and safety regulations and Laws.The health and safety manual shall set out all the health and safety requirements under the Contract, * + - 1. which shall include at a minimum:
1. the procedures to establish and maintain a safe working environment without risk to health at all workplaces, machinery, equipment and processes under the control of the Contractor, including control measures for chemical, physical and biological substances and agents;
2. details of the training to be provided, records to be kept;
3. the procedures for prevention, preparedness and response activities to be implemented in the case of an emergency event (i.e. an unanticipated incident, arising from both natural and man-made hazards, typically in the form of fire, explosions, leaks or spills, which may occur for a variety of different reasons including failure to implement operating procedures that are designed to prevent their occurrence, extreme weather or lack of early warning);
4. the measures to be taken to avoid or minimize the potential for community exposure to water-borne, water-based, water-related, and vector-borne diseases,
5. the measures to be implemented to avoid or minimize the spread of communicable diseases (including transfer of Sexually Transmitted Diseases or Infections (STDs), such as HIV virus) and non-communicable diseases associated with the execution of the Works, taking into consideration differentiated exposure to and higher sensitivity of vulnerable groups. This includes taking measures to avoid or minimize the transmission of communicable diseases that may be associated with the influx of temporary or permanent Contract-related labour;
6. the policies and procedures on the management and quality of accommodation and welfare facilities if such accommodation and welfare facilities are provided by the Contractor in accordance with Sub-Clause 6.6; and
	* + 1. any other requirements stated in the Employer’s Requirements.

The paragraph starting with: “In addition to the reporting requirement of…” is deleted and replaced with the addition to GC Sub-Clause 4.20 in Sub-Clause 4.20 of the Special Provisions.  |
| Sub-Clause 4.15 Access Route | The following is added at the end of Sub-Clause 4.15: “The Contractor shall take all necessary safety measures to avoid the occurrence of incidents and injuries to any third party associated with the use of, if any, Contractor’s Equipment on public roads or other public infrastructure.The Contractor shall monitor and use road safety incidents and accidents reports to identify negative safety issues, and establish and implement necessary measures to resolve them.”  |
| Sub-Clause 4.18**Protection of the Environment** | Sub-Clause 4.18 Protection of the Environment is replaced with: “The Contractor shall take all necessary measures to:* + 1. protect the environment (both on and off the Site); and
		2. limit damage and nuisance to people and property resulting from pollution, noise and other results of the Contractor’s operations and/ or activities.

The Contractor shall ensure that emissions, surface discharges, effluent and any other pollutants from the Contractor’s activities shall exceed neither the values indicated in the Employer’s Requirements, nor those prescribed by applicable Laws.In the event of damage to the environment, property and/or nuisance to people, on or off Site as a result of the Contractor’s operations, the Contractor shall agree with the Engineer the appropriate actions and time scale to remedy, as practicable, the damaged environment to its former condition. The Contractor shall implement such remedies at its cost to the satisfaction of the Engineer.”  |
| Sub-Clause 4.20**Progress Reports** | “4.20 (g) is replaced with: “the Environmental and Social (ES) metrics set out in Particular Conditions - Part D” The following is added at the end of the Sub-Clause:“In addition to the reporting requirement of this sub-paragraph (g) of Sub-Clause 4.20 [*Progress Reports*], and subject to the specific requirement on handling allegations of SEA and/or SH in accordance with Sub-Clause 6.27, the Contractor shall inform the Engineer immediately of any allegation, incident or accident, which has or is likely to have a significant adverse effect on the environment, the affected communities, the public, Employer’s Personnel or Contractor’s Personnel. This includes, but is not limited to, any incident or accident causing fatality or serious injury; significant adverse effects or damage to private property; or any allegation of SEA and/or SH. In case of SEA and/or SH, while maintaining confidentiality as appropriate, the type of allegation (sexual exploitation, sexual abuse or sexual harassment), gender and age of the person who experienced the alleged incident should be included in the information.The Contractor, upon becoming aware of the allegation, incident or accident, shall also immediately inform the Engineer of any such incident or accident on the Subcontractors’ or suppliers’ premises relating to the Works which has or is likely to have a significant adverse effect on the environment, the affected communities, the public, Employer’s Personnel or Contractor’s, its Subcontractors’ and suppliers’ personnel. The notification shall provide sufficient detail regarding such incidents or accidents. The Contractor shall provide full details of such incidents or accidents to the Engineer within the timeframe agreed with the Engineer. The Contractor shall require its Subcontractors and suppliers (other than Subcontractors) to immediately notify the Contractor of any incidents or accidents referred to in this Subclause.” |
| Sub-Clause 4.21**Security of the Site** | The Sub-Clause is replaced with the following:“The Contractor shall be responsible for the security of the Site, and:1. for keeping unauthorised persons off the Site;
2. authorised persons shall be limited to the Contractor’s Personnel, the Employer’s Personnel, and to any other personnel identified as authorised personnel (including the Employer’s other contractors on the Site), by a Notice from the Employer or the Engineer to the Contractor.

Subject to Sub-Clause 4.1, the Contractor shall submit for the Engineer’s No-objection a security management plan that sets out the security arrangements for the Site.The Contractor shall (i) conduct appropriate background checks on any personnel retained to provide security; (ii) train the security personnel adequately (or determine that they are properly trained) in the use of force (and where applicable, firearms), and appropriate conduct towards Contractor’s Personnel, Employer’s Personnel and affected communities; and (iii) require the security personnel to act within the applicable Laws and any requirements set out in the Employer’s Requirements. The Contractor shall not permit any use of force by security personnel in providing security except when used for preventive and defensive purposes in proportion to the nature and extent of the threat.In making security arrangements, the Contractor shall also comply with any additional requirements stated in the Employer’s Requirements.” |
| Sub-Clause 4.23**Archaeological and Geological Findings** | The first paragraph is replaced with the following:“All fossils, coins, articles of value or antiquity, structures, groups of structures, and other remains or items of geological, archaeological, paleontological, historical, architectural or religious interest found on the Site shall be placed under the care and custody of the Employer. The Contractor shall:1. take all reasonable precautions, including fencing-off the area or site of the finding, to avoid further disturbance and prevent Contractor’s Personnel or other persons from removing or damaging any of these findings;
2. train relevant Contractor’s Personnel on appropriate actions to be taken in the event of such findings; and
3. implement any other action consistent with the requirements of the Employer’s Requirements and relevant Laws.
 |
| Sub-Clause 4.26**Suppliers (other than Subcontractors)** | The following Sub-Clause is added: **4.26.1 Forced Labour** The Contractor shall take measures to require its suppliers (other than Subcontractors) not to employ or engage forced labour including trafficked persons as described in Sub-Clause 6.21. If forced labour/trafficking cases are identified, the Contractor shall take measures to require the suppliers to take appropriate steps to remedy them. Where the supplier does not remedy the situation, the Contractor shall within a reasonable period substitute the supplier with a supplier that is able to manage such risks. **4.26.2 Child labour** The Contractor shall take measures to require its suppliers (other than Subcontractors) not to employ or engage child labour as described in Sub-Clause 6.22. If child labour cases are identified, the Contractor shall take measures to require the suppliers to take appropriate steps to remedy them. Where the supplier does not remedy the situation, the Contractor shall within a reasonable period substitute the supplier with a supplier that is able to manage such risks.**4.26.3 Serious Safety Issues** The Contractor, including its Subcontractors, shall comply with all applicable safety obligations, including as stated in Sub-Clauses 4.4, 4.8 and 6.7. The Contractor shall also take measures to require its suppliers (other than Subcontractors) to adopt procedures and mitigation measures adequate to address safety issues related to their personnel. If serious safety issues are identified, the Contractor shall take measures to require the suppliers to take appropriate steps to remedy them. Where the supplier does not remedy the situation, the Contractor shall within a reasonable period substitute the supplier with a supplier that is able to manage such risks. **4.26.4 Obtaining natural resource materials in relation to supplier**The Contractor shall obtain natural resource materials from suppliers that can demonstrate, through compliance with the applicable verification and/ or certification requirements, that obtaining such materials is not contributing to the risk of significant conversion or significant degradation of natural or critical habitats such as unsustainably harvested wood products, gravel or sand extraction from river beds or beaches.If a supplier cannot continue to demonstrate that obtaining such materials is not contributing to the risk of significant conversion or significant degradation of natural or critical habitats, the Contractor shall within a reasonable period substitute the supplier with a supplier that is able to demonstrate that they are not significantly adversely impacting the habitats. |
| Sub-Clause 4.27 Code of Conduct | The following Sub-Clause is added: The Contractor shall have a Code of Conduct for the Contractor’s Personnel. The Contractor shall take all necessary measures to ensure that each Contractor’s Personnel is made aware of the Code of Conduct including specific behaviors that are prohibited, and understands the consequences of engaging in such prohibited behaviors. These measures include providing instructions and documentation that can be understood by the Contractor’s Personnel and seeking to obtain that person’s signature acknowledging receipt of such instructions and/or documentation, as appropriate.The Contractor shall also ensure that the Code of Conduct is visibly displayed in multiple locations on the Site and any other place where the Works will be carried out, as well as in areas outside the Site accessible to the local community and project affected people. The posted Code of Conduct shall be provided in languages comprehensible to Contractor’s Personnel, Employer’s Personnel and the local community.The Contractor’s Management Strategy and Implementation Plans shall include appropriate processes for the Contractor to verify compliance with these obligations.  |
| Sub-Clause 5.4 Technical Standards and Regulations  | The following is added as a second paragraph:“If so stated in the Employer’s Requirements, the Contractor shall:1. take into account climate change considerations in the design of structural elements of the Works and new buildings if any; and
2. apply the concept of universal access to the design and construction of structures and new buildings if any (the concept of universal access means unimpeded access for people of all ages and abilities in different situations and under various circumstances.)
 |
| Sub-Clause 6.1**Engagement of Staff and Labour** | The following paragraphs are added at the end of the Sub-Clause:The Contractor shall provide the Contractor’s Personnel information and documentation that are clear and understandable regarding their terms and conditions of employment. The information and documentation shall set out their rights under relevant labour Laws applicable to the Contractor’s Personnel (which will include any applicable collective agreements), including their rights related to hours of work, wages, overtime, compensation and benefits, as well as those arising from any requirements in the Employer’s Requirements. The Contractor’s Personnel shall be informed when any material changes to their terms or conditions of employment occur. “The Contractor is encouraged, to the extent practicable and reasonable, to employ staff and labour with appropriate qualifications and experience from sources within the Country.” |
| Sub-Clause 6.2**Rates of Wages and Conditions of Labour** | The following paragraphs are added at the end of the Sub-Clause:“The Contractor shall inform the Contractor’s Personnel about:1. any deduction to their payment and the conditions of such deductions in accordance with the applicable Laws or as stated in the Employer’s Requirements; and
2. their liability to pay personal income taxes in the Country in respect of such of their salaries, wages, allowances and any benefits as are subject to tax under the Laws of the Country for the time being in force.

The Contractor shall perform such duties in regard to such deductions thereof as may be imposed on him by such Laws.Where required by applicable Laws or as stated in the Employer’s Requirements, the Contractor shall provide the Contractor’s Personnel written notice of termination of employment and details of severance payments in a timely manner. The Contractor shall have paid the Contractor’s Personnel (either directly or where appropriate for their benefit) all due wages and entitlements including, as applicable, social security benefits and pension contributions, on or before the end of their engagement/ employment.”  |
| Sub-Clause 6.5 Working Hours  | The following is inserted at the end of the Sub-Clause“The Contractor shall provide the Contractor’s Personnel annual holiday and sick, maternity and family leave, as required by applicable Laws or as stated in the Employer’s Requirements.” |
| Sub-Clause 6.6Facilities for Staff and Labour | The following is added as the last paragraph:“If stated in the Employer’s Requirements, the Contractor shall give access to or provide services that accommodate the physical, social and cultural needs of the Contractor’s Personnel. The Contractor shall also provide similar facilities for the Employer’s Personnel as stated in the Employer’s Requirements.”  |
| Sub-Clause 6.7**Health and Safety of Personnel**  | In the second paragraph, “The Contractor” is replaced with: “Except as otherwise stated in the Employer’s Requirements, the Contractor…”  |
| Sub-Clause 6.9**Contractor’s Personnel** | The Sub-Clause is replaced with:“The Contractor’s Personnel (including Key Personnel, if any) shall be appropriately qualified, skilled, experienced and competent in their respective trades or occupations. The Engineer may require the Contractor to remove (or cause to be removed) any person employed on the Site or Works, including the Contractor’s Representative and Key Personnel (if any), who:1. persists in any misconduct or lack of care;
2. carries out duties incompetently or negligently;
3. fails to comply with any provision of the Contract;
4. persists in any conduct which is prejudicial to safety, health, or the protection of the environment;
5. based on reasonable evidence, is determined to have engaged in Fraud and Corruption during the execution of the Works;
6. has been recruited from the Employer’s Personnel in breach of Sub-Clause 6.3 [Recruitment of Persons];
7. undertakes behaviour which breaches the Code of Conduct for Contractor’s Personnel (ES).

If appropriate, the Contractor shall then promptly appoint (or cause to be appointed) a suitable replacement with equivalent skills and experience. In the case of replacement of the Contractor’s Representative, Sub-Clause 4.3 [*Contractor’s Representative*] shall apply. In the case of replacement of Key Personnel (if any), Sub-Clause 6.12 [*Key Personnel*] shall apply.Subject to the requirements in Sub-Clause 4.3 [*Contractor’s Representative*] and 6.12 [*Key Personnel*], and notwithstanding any requirement from the Engineer to remove or cause to remove any person, the Contractor shall take immediate action as appropriate in response to any violation of (a) through (g) above. Such immediate action shall include removing (or causing to be removed) from the Site or other places where the Works are being carried out, any Contractor’s Personnel who engages in (a), (b), (c), (d), (e) or (g) above or has been recruited as stated in (f) above.” |
| Sub-Clause 6.12**Key Personnel** | The following is inserted at the end of the last paragraph: “If any of the Key Personnel are not fluent in this language, the Contractor shall make competent interpreters available during all working hours in a number deemed sufficient by the Engineer.” |
| **The following Sub-Clauses 6.13 to 6.28 are added after Sub-clause 6.12**  |
| Sub-Clause 6.13Foreign Personnel | The Contractor may bring in to the Country any foreign personnel who are necessary for the execution of the Works to the extent allowed by the applicable Laws. The Contractor shall ensure that these personnel are provided with the required residence visas and work permits. The Employer will, if requested by the Contractor, use its best endeavours in a timely and expeditious manner to assist the Contractor in obtaining any local, state, national, or government permission required for bringing in the Contractor’s personnel.The Contractor shall be responsible for the return of these personnel to the place where they were recruited or to their domicile. In the event of the death in the Country of any of these personnel or members of their families, the Contractor shall similarly be responsible for making the appropriate arrangements for their return or burial. |
| Sub-Clause 6.14**Supply of Foodstuffs** | The Contractor shall arrange for the provision of a sufficient supply of suitable food as may be stated in the Employer’s Requirements at reasonable prices for the Contractor’s Personnel for the purposes of or in connection with the Contract. |
| Sub-Clause 6.15**Supply of Water** | The Contractor shall, having regard to local conditions, provide on the Site an adequate supply of drinking and other water for the use of the Contractor’s Personnel. |
| Sub-Clause 6.16**Measures against Insect and Pest Nuisance** | The Contractor shall at all times take the necessary precautions to protect the Contractor’s Personnel employed on the Site from insect and pest nuisance, and to reduce the danger to their health. The Contractor shall comply with all the regulations of the local health authorities, including use of appropriate insecticide. |
| Sub-Clause 6.17**Alcoholic Liquor or Drugs** | The Contractor shall not, otherwise than in accordance with the Laws of the Country, import, sell, give, barter or otherwise dispose of any alcoholic liquor or drugs, or permit or allow importation, sale, gift, barter or disposal thereto by Contractor’s Personnel. |
| Sub-Clause 6.18**Arms and Ammunition** | The Contractor shall not give, barter, or otherwise dispose of, to any person, any arms or ammunition of any kind, or allow Contractor’s Personnel to do so. |
| Sub-Clause 6.19**Festivals and Religious Customs** | The Contractor shall respect the Country’s recognized festivals, days of rest and religious or other customs. |
| Sub-Clause 6.20**Funeral Arrangements** | The Contractor shall be responsible, to the extent required by local regulations, for making any funeral arrangements for any of its local employees who may die while engaged upon the Works. |
| Sub-Clause 6.21**Forced Labour** | The Contractor, including its Subcontractors, shall not employ or engage forced labour. Forced labour consists of any work or service, not voluntarily performed, that is exacted from an individual under threat of force or penalty, and includes any kind of involuntary or compulsory labour, such as indentured labour, bonded labour or similar labour-contracting arrangements. No persons shall be employed or engaged who have been subject to trafficking. Trafficking in persons is defined as the recruitment, transportation, transfer, harbouring or receipt of persons by means of the threat or use of force or other forms of coercion, abduction, fraud, deception, abuse of power, or of a position of vulnerability, or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purposes of exploitation. |
| Sub-Clause 6.22**Child Labour** | The Contractor, including its Subcontractors, shall not employ or engage a child under the age of 14 unless the national law specifies a higher age (the minimum age). The Contractor, including its Subcontractors, shall not employ a child between the minimum age and the age of 18 in a manner that is likely to be hazardous, or to interfere with, the child’s education, or to be harmful to the child’s health or physical, mental, spiritual, moral, or social development.The Contractor including its Subcontractors, shall only employ children between the minimum age and the age of 18 after an appropriate risk assessment has been conducted by the Contractor with the Engineer’s consent. The Contractor shall be subject to regular monitoring by the Engineer that includes monitoring of health, working conditions and hours of work. Work considered hazardous for children is work that, by its nature or the circumstances in which it is carried out, is likely to jeopardize the health, safety, or morals of children. Such work activities prohibited for children include work:1. with exposure to physical, psychological or sexual abuse;
2. underground, underwater, working at heights or in confined spaces;
3. with dangerous machinery, equipment or tools, or involving handling or transport of heavy loads;
4. in unhealthy environments exposing children to hazardous substances, agents, or processes, or to temperatures, noise or vibration damaging to health; or
5. under difficult conditions such as work for long hours, during the night or in confinement on the premises of the employer.
 |
| Sub-Clause 6.23**Employment Records of Workers** | The Contractor shall keep complete and accurate records of the employment of labour at the Site. The records shall include the names, ages, genders, hours worked and wages paid to all workers. These records shall be summarised on a monthly basis and submitted to the Engineer. These records shall be included in the details to be submitted by the Contractor under Sub-Clause 6.10 [*Contractor’s Records*]. |
| Sub-Clause 6.24**Workers’ Organisations** | In countries where the relevant labour laws recognise workers’ rights to form and to join workers’ organisations of their choosing and to bargain collectively without interference, the Contractor shall comply with such laws. In such circumstances, the role of legally established workers’ organizations and legitimate workers’ representatives will be respected, and they will be provided with information needed for meaningful negotiation in a timely manner. Where the relevant labour laws substantially restrict workers’ organisations, the Contractor shall enable alternative means for the Contractor’s Personnel to express their grievances and protect their rights regarding working conditions and terms of employment. The Contractor shall not seek to influence or control these alternative means. The Contractor shall not discriminate or retaliate against the Contractor’s Personnel who participate, or seek to participate, in such organisations and collective bargaining or alternative mechanisms. Workers’ organisations are expected to fairly represent the workers in the workforce. |
| Sub-Clause 6.25**Non-Discrimination and Equal Opportunity** | The Contractor shall not make decisions relating to the employment or treatment of Contractor’s Personnel on the basis of personal characteristics unrelated to inherent job requirements. The Contractor shall base the employment of Contractor’s Personnel on the principle of equal opportunity and fair treatment, and shall not discriminate with respect to any aspects of the employment relationship, including recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, and disciplinary practices. Special measures of protection or assistance to remedy past discrimination or selection for a particular job based on the inherent requirements of the job shall not be deemed discrimination. The Contractor shall provide protection and assistance as necessary to ensure nondiscrimination and equal opportunity, including for specific groups such as women, people with disabilities, migrant workers and children (of working age in accordance with Sub-Clause 6.22).  |
| Sub-Clause 6.26**Contractor’s Personnel Grievance Mechanism**  | The Contractor shall have a grievance mechanism for Contractor’s Personnel, and where relevant the workers’ organizations stated in Sub-Clause 6.24, to raise workplace concerns (other than those relating to SEA and/or SH, which shall be addressed under Sub-Clause 6.27 below). The grievance mechanism shall be proportionate to the nature, scale, risks and impacts of the Contract. The mechanism shall address concerns promptly, using an understandable and transparent process that provides timely feedback to those concerned in a language they understand, without any retribution, and shall operate in an independent and objective manner. The Contractor’s Personnel shall be informed of the grievance mechanism at the time of engagement for the Contract, and the measures put in place to protect them against any reprisal for its use. Measures will be put in place to make the grievance mechanism easily accessible to all Contractor’s Personnel. The grievance mechanism shall not impede access to other judicial or administrative remedies that might be available, or substitute for grievance mechanisms provided through collective agreements.The grievance mechanism may utilize existing grievance mechanisms, providing that they are properly designed and implemented, address concerns promptly, and are readily accessible to Contractor’s Personnel. Existing grievance mechanisms may be supplemented as needed with Contract-specific arrangements. |
| Sub-Clause 6.27 Contractor’s SEA/SH Response Mechanism; Receipt of SEA/SH allegations; and Contractor’s and non-compliance | * + 1. The Contractor’s SEA/SH Response Mechanism

The Contractor shall put in place an effective mechanism for receiving and promptly addressing allegations of SEA and/or SH from the Contractor’s or Employer’s Personnel or any other person including third parties (“SEA/SH Response Mechanism”). The Contractor’s Personnel shall be informed of the SEA/SH Response Mechanism at the time of engagement for the Contract and informed of the measures put in place to protect them against any reprisal for its use. For all other persons (including the Employer’s Personnel and affected communities), information about this SEA/SH Response Mechanism, including how to submit an allegation or concern and also measures protecting against reprisal, shall be displayed, in languages comprehensible to the Contractor’s Personnel, Employer’s Personnel, and the affected communities, in locations easily accessible to them.The SEA/SH Response Mechanism shall permit allegations or concerns to be submitted in writing, in person or by phone, with appropriate provision for confidential treatment, and shall permit the submission of anonymous allegations. The Contractor shall have in place a dedicated person with appropriate skills, experience and training to receive and review such allegations or concerns. As part of the SEA/SH Response Mechanism, the Contractor shall maintain and implement ethical and safe processes for investigating and addressing allegations of SEA and/or SH. These measures should identify appropriate responses to SEA and/or SH allegations, including the actions set forth in Sub-Clause 6.9, and other appropriate disciplinary measures in the case of the Contractor’s Personnel. * + 1. Receipt of SEA/SH allegations

Any allegation of SEA and/or SH received by the Contractor (including through its Subcontractor/s), the Employer or the Engineer shall be documented and promptly submitted to the other two parties. While maintaining confidentiality of the person who experienced the alleged incident, as appropriate, the documentation and submission should include the type of alleged incident (sexual exploitation, sexual abuse or sexual harassment), gender and age of the person who experienced the alleged incident.Upon receipt of any SEA and/or SH allegation as described above, the Contractor shall immediately apply its the SEA/SH Response Mechanism, as described in Sub-Clause 6.27.1, to review and address the allegation or concern. The Employer shall promptly refer the allegation to the DAAB pursuant to Sub-Clause 21.9 *[“SEA/SH Referral”].* * + 1. Contractor’s non-compliance with SEA/SH contractual obligations

If the Engineer identifies that the Contractor, including its Subcontractor/s, has not complied with the SEA/SH Prevention and Response Obligations under the Contract, the Engineer shall give a Notice to Correct to the Contractor in accordance with Sub-Clause 15.1, copied to the Employer and the DAAB. If the Contractor fails to comply with the Notice to Correct, the Engineer shall immediately notify the Employer and the Contractor. Upon receipt of such a notification, the Employer shall refer the non-compliance to the DAAB for its review and decision pursuant to Sub-Clause 21.9 *[“SEA/SH Referral”].*If a DAAB report, prepared in accordance with Rule 3.10 of the DAAB Procedural Rules, identifies potential non-compliance of the Contractor, including its Subcontractor/s, with the SEA/SH Prevention and Response Obligations, the Engineer shall review the potential non-compliance and determine whether a Notice to Correct shall be issued to the Contractor. If the Engineer determines that a Notice to Correct shall not be given to the Contractor, the Engineer shall inform the Employer copying the DAAB, providing the basis for its determination. If the Engineer, however, determines that a Notice to Correct shall be given to the Contractor, the Engineer shall give a Notice to Correct to the Contractor in accordance with Sub-Clause 15.1, copied to the Employer and the DAAB. If the Contractor fails to comply with the Notice to Correct, the Engineer shall immediately notify the Employer and the Contractor. Upon receipt of such a notification, the Employer shall refer the non-compliance to the DAAB for its review and decision pursuant to Sub-Clause 21.9 *[“SEA/SH Referral”].* |
| Sub-Clause 6.28Training of Contractor’s Personnel  | The Contractor shall provide appropriate training to relevant Contractor’s Personnel on ES aspects of the Contract, including appropriate sensitization on prohibition of SEA and health and safety training referred to in Sub-Clause 4.8 As stated in the Employer’s Requirements or as instructed by the Engineer, the Contractor shall also allow appropriate opportunities for the relevant Contractor’s Personnel to be trained on ES aspects of the Contract by the Employer’s Personnel. The Contractor shall provide training on SEA, including its prevention, to any of its personnel who has a role to supervise other Contractor’s Personnel. |
| Sub-Clause 7.3 Inspection | The following is added in the first paragraph after “Employer’s Personnel” “(including the Bank staff or consultants acting on the Bank’s behalf, stakeholders and third parties, such as independent experts, local communities, or non-governmental organizations)”The following is added as (b) (iv):“(iv) carryout environmental and social audit, and” |
| Sub-Clause 7.7Ownership of Plant and Materials | The following is added before the first paragraph:“Except as otherwise provided in the Contract,”  |
| Sub-Clause 8.1**Commencement of Work** | The Sub- Clause is replaced in its entirety with the following:“The Engineer shall give a Notice to the Contractor stating the Commencement Date, not less than 14 days before the Commencement Date.The Notice shall be issued promptly after the Engineer determines the fulfilment of the following conditions:1. signature of the Contract Agreement by both Parties, and if required, approval of the Contract by relevant authorities of the Country;
2. delivery to the Contractor of reasonable evidence of the Employer’s financial arrangements (under Sub-Clause 2.4 [Employer’s Financial Arrangements]);
3. except if otherwise specified in the Contract Data, effective access to and possession of the Site given to the Contractor together with such permission(s) under (a) of Sub-Clause 1.13 [Compliance with Laws] as required for the commencement of the Works;
4. receipt by the Contractor of the Advance Payment under Sub-Clause 14.2 [Advance Payment] provided that the corresponding bank guarantee has been delivered by the Contractor; and
5. constitution of the DAAB in accordance with Sub-Clause 21.1 and Sub-Clause 21.2 as applicable.

Subject to Sub-Clause 4.1 on the Management Strategies and Implementation Plans and the C-ESMP and Sub-Clause 4.8 on the health and safety manual, the Contractor, shall commence the execution of the Works as soon as is reasonably practicable after the Commencement Date, and shall then proceed with the Works with due expedition and without delay.” |
| Sub-Clause 11.7**Right of Access after Taking Over** | In the second paragraph, “Whenever the Contractor intends to access any part of the Works during the relevant DNP:” is replaced with:“Whenever, until the date 28 days after issue of the Performance Certificate, the Contractor intends to access any part of the Works:” |
| Sub-Clause 13.3.1**Variation by Instruction** | Subparagraph 13.3.1 (a) is replaced with: “a description of the varied work performed or to be performed, including details of the resources and methods adopted or to be adopted by the Contractor, and sufficient ES information to enable an evaluation of ES risks and impacts;’ |
| Sub-Clause 13.4Provisional Sums | The following is inserted as the penultimate paragraph:“The Provisional Sum shall be used to cover the Employer's share of the DAAB members’ fees and expenses, in accordance with Clause 21. No prior instruction of the Engineer shall be required with respect to the work of the DAAB. The Contractor shall submit the DAAB members’ invoices and satisfactory evidence of having paid 100% of such invoices as part of the substantiation of those Statements submitted under Sub-Clause 14.3.  |
| Sub-Clause 13.6**Adjustments for Changes in Laws** | The following paragraph is added at the end of the Sub-Clause:“Notwithstanding the foregoing, the Contractor shall not be entitled to an extension of time if the relevant delay has already been taken into account in the determination of a previous extension of time and such Cost shall not be separately paid if the same shall already have been taken into account in the indexing of any inputs to the Table of Adjustment Data in accordance with the provisions of Sub-Clause 13.7 [Adjustments for Changes in Cost].” |
| Sub-Clause 14.1**The Contract Price** | ***[Note to the Employer: include one of the following two alternative texts as applicable*]**The following is added at the end of the Sub-Clause: **[ *Alternative 1*]****“**Notwithstanding the provisions of subparagraph (b), Contractor's Equipment, including essential spare parts therefor, imported by the Contractor for the sole purpose of executing the Contract shall be exempt from the payment of import duties and taxes upon importation.”**[*Alternative 2*]**“Notwithstanding the provisions of subparagraph (b), Contractor's Equipment, including essential spare parts therefore, imported by the Contractor for the sole purpose of executing the Contract shall be temporarily exempt from the payment of import duties and taxes upon initial importation, provided the Contractor shall post with the customs authorities at the port of entry an approved export bond or bank guarantee, valid until the Time for Completion plus six months, in an amount equal to the full import duties and taxes which would be payable on the assessed imported value of such Contractor's Equipment and spare parts, and callable in the event the Contractor's Equipment is not exported from the Country on completion of the Contract. A copy of the bond or bank guarantee endorsed by the customs authorities shall be provided by the Contractor to the Employer upon the importation of individual items of Contractor's Equipment and spare parts. Upon export of individual items of Contractor's Equipment or spare parts, or upon the completion of the Contract, the Contractor shall prepare, for approval by the customs authorities, an assessment of the residual value of the Contractor's Equipment and spare part to be exported, based on the depreciation scale (s) and other criteria used by the customs authorities for such purposes under the provisions of the applicable Laws. Import duties and taxes shall be due and payable to the customs authorities by the Contractor on (a) the difference between the initial imported value and the residual value of the Contractor's Equipment and spare parts to exported; and (b) on the initial imported value of the Contractor's Equipment and spare parts remaining in the Country after completion of the Contract. Upon payment of such dues within 28 days of being invoiced, the bond or bank guarantee shall be reduced or released accordingly; otherwise the security shall be called in the full amount remaining.” |
| Sub-Clause 14.1**The Contract Price** | *[In accordance with Sub-Clause 13.8 [ Measurement of Excavation and Lining Works and Adjustemnt of Time for Completion and Contract Price], unless otherwise stated in the Contract, only the Excavation and Lining Works shall be subject to measurement as described in the Sub-Clause and stated in Sub-Clause 14.1 [Contract Price].If payment for any other part of the Works, is to be made on the basis of measurement, that other part must be defined in the Contract, and the following text may be added; Otherwise delete this entire Sub-Clause 14.1 from Part B- Special Provisions.]*“Any part of the Works which is to be measured shall be specified in the Contract.The Engineer shall agree or determine the value of those parts of the Works which are to be measured, in accordance with Sub-Clause 3.7 [*Agreement or Determination*]. Measurement shall be made of the net actual quantities of those parts notwithstanding local practice.Whenever the Engineer requires any part of the Works to be measured on Site. It shall give a Notice to the Contractor of not less than 7 days, of the part to be measured on the date on which and place on Site at which the measurement shall be made. Unless otherwise agreed with the Contarctor, the measuremnt on Site shall be made on this date and the Contractor’s Representaive shall:1. either attend or send another qualified representative to assist the Engineer and to endeavour to reach agreement of the measurement, and
2. supply any particulars requested by the Engineer.

If the Contractor fails to attend or send a representative at the time and place stated in the Engineer’s Notice (or otherwise agreed with the Contractor), the measurement made by (or on behalf of) the Engineer shall be deemed to have been made in the Contractor’s presence and the Contractor shall be deemed to have accepted the measuremnt as accurate.Any part of the Permanent Works that is to be measured from records shall be identified in the Employer’s Requirements and, except as otherwise stated in the Contarct, such records shall be prepared by the Engineer. Whenever the Engineer has prepared the records of such a part, it shall give a Notice to the Contarctor of not less than 7 days, stating the date on which and place at which the Contractor’s Representative shall attend to examine and agree the records of the Engineer. If the Contractor fails to attend or send a representaive at the time and place stated in the Engineer’s Notice ( or otherwise agreed with the Contarctor), the Contarctor shall be deemed to have accepted the records as accurate.If, for any part of the Works, the Contractor attends the measuremnt on Site or examines the measurement records (as the case may be) but the Engineer and the Contractor are unable to agree the measurement, then the Contarctor shall give a Notice to the Engineer setting out the reasons why the Contractor considers the measuremnt on Site or records are inaccurate. If the Contractor does not give such a Notice to the Engineer within 14 days after attending the measuremnt on Site or examining the measurement records, the Contractor shall be deemed to have accepted the measurement as accurate.After receiving a Contractor’s Notice under this Sub-Clause, unless at that time such measuremnt is already subject to the third paragraph of Sub-Clause 13.3.1 [*Variation by Instruction*], the Engineer shall:1. proceed under Sub-Clause 3.7 [Agreeement or Determination] to agree or determine the measurement; and
2. For the purpose of Sub-Clause 3.7.3 [*Time Limits*], the date on which the Engineer receives the Contractor’s Notice shall be the date of commencement of the time limit for agreement under Sub-Clause 3.7.3.

Until such time as the measurement is agreed or determined, the Engineer shall assess a provisional measurement for the purposes of Interim Payment Certificates.” |
| Sub-Clause 14.2.1**Advance Payment Guarantee** | The first paragraph is replaced with: “The Contractor shall obtain (at the Contractor’s cost) an Advance Payment Guarantee in amounts and currencies equal to the advance payment and shall submit it to the Employer with a copy to the Engineer. This guarantee shall be issued by reputable bank or financial institution selected by the Contractor and shall be based on the sample form annexed to the Particular Conditions or in another form agreed by the Employer(but such agreement shall not relieve the Contractor from any obligation under this Sub-Clause).” |
| Sub-Clause 14.3**Application for Interim Payment** | The following is inserted at the end of (vii) after: *[Agreement or Determination]*: “and any reimbursement due to the Contractor under the Dispute Avoidance/ Adjudication Agreement. (Appendix General Conditions of Dispute Avoidance/ Adjudication Agreement).” |
| Sub-Clause 14.6.2**Withholding (amounts in) an IPC** | “and/or” from subparagraph (b) is deleted.The following is then added as subparagraph (c) and sub-paragraph (c) of the Sub-Clause is renumbered as (d):“(c) if the Contractor was, or is, failing to perform any ES obligations or work under the Contract, the value of this work or obligation, as determined by the Engineer, may be withheld until the work or obligation has been performed, and/or the cost of rectification or replacement, as determined by the Engineer, may be withheld until rectification or replacement has been completed. Failure to perform includes, but is not limited to the following: * + - 1. failure to comply with any ES obligations or work described in the Employer’s Requirements which may include: working outside site boundaries, excessive dust, damage to offsite vegetation, pollution of water courses from oils or sedimentation, contamination of land e.g. from oils, human waste, damage to archaeology or cultural heritage features, air pollution as a result of unauthorized and/or inefficient combustion;
			2. failure to regularly review C-ESMP and/or update it in a timely manner to address emerging ES issues, or anticipated risks or impacts;
			3. failure to implement the C-ESMP e.g. failure to provide required training or sensitization;
			4. failing to have appropriate consents/permits prior to undertaking Works or related activities;
			5. failure to submit ES report/s (as described in Particular Conditions - Part D), or failure to submit such reports in a timely manner;
			6. failure to implement remediation as instructed by the Engineer within the specified timeframe (e.g. remediation addressing non-compliance/s).”
 |
| Sub-Clause 14.7**Payment** | At the end of sub-paragraph (b): “and” is replaced with “or” and the following inserted as (iii):“(iii) at a time when the Bank’s loan or credit (from which part of the payments to the Contractor is being made) is suspended, the amount shown on any statement submitted by the Contractor within 14 days after such statement is submitted, any discrepancy being rectified in the next payment to the Contractor; and”At the end of sub-paragraph (c): “.” is replaced with “;” and the following inserted:“or, at a time when the Bank’s loan or credit (from which part of the payments to the Contractor is being made) is suspended the undisputed amount shown in the Final Statement within 56 days after the date of notification of the suspension in accordance with Sub-Clause 16.2 [Termination by Contractor].” |
| Sub-Clause 14.9**Release of Retention Money** | The following is added at the end of Sub-Clause 14.9:“Unless otherwise stated in the Contract, when the Taking-Over Certificate has been issued for the Works and the first half of the Retention Money has been certified for payment by the Engineer, the Contractor shall be entitled to substitute a guarantee, in the form annexed to the Particular Conditions or in another form approved by the Employer and issued by a reputable bank or financial institution selected by the Contractor, for the second half of the Retention Money. The Contractor shall ensure that the guarantee is in the amounts and currencies of the second half of the Retention Money and is valid and enforceable until the Contractor has executed and completed the Works and remedied any defects, as specified for the Performance Security and, if applicable, an ES Performance Security in Sub-Clause 4.2. On receipt by the Employer of the required guarantee, the Engineer shall certify and the Employer shall pay the second half of the Retention Money. The release of the second half of the Retention Money against a guarantee shall then be in lieu of the release after the latest of the expiry dates of the Defects Notification Periods. The Employer shall return the guarantee to the Contractor within 21 days after receiving a copy of the Performance Certificate.If the Performance Security and, if applicable, an ES Performance Security required under Sub-Clause 4.2 is in the form of a demand guarantee, and the amount guaranteed under them when the Taking-Over Certificate is issued is more than half of the Retention Money, then the Retention Money guarantee will not be required. If the amount guaranteed under the Performance Security and, if applicable, an ES Performance Security, when the Taking-Over Certificate is issued is less than half of the Retention Money, the Retention Money guarantee will only be required for the difference between half of the Retention Money and the amount guaranteed under the Performance Security and, if applicable, an ES Performance Security.” |
| Sub-Clause 14.15**Currencies of Payment** | Throughout Sub-Clause 14.15, “Contract Data” is replaced with: “Schedule of Payment Currencies”. |
| Sub-Clause 15.1**Notice to Correct** | “and” is deleted from (b) and “.” is replaced with: “; and” in (c).The following is then added as (d)“(d) specify the time within which the Contractor shall respond to the Notice to Correct.”In the third para., “shall immediately respond” is replaced with: “shall respond within the time specified in (d)”. Further, in the third para., “to comply with the time specified in the Notice to Correct.” is replaced with: “to comply with the time specified in (c).” |
| Sub-Clause 15.2.1**Notice**  | Sub-paragraph (h) is replaced with:“based on reasonable evidence, has engaged in Fraud and Corruption as defined in paragraph 2.2 of the Particular Conditions - Part C- Fraud and Corruption, in competing for or in executing the Contract.” |
| Sub-Clause 15.8**Fraud and Corruption** | The following new Sub-Clause is added:“15.8.1 The Bank requires compliance with the Bank’s Anti-Corruption Guidelines and its prevailing sanctions policies and procedures as set forth in the Bank’s Sanctions Framework, as set forth in Particular Conditions - Part C- Fraud and Corruption.15.8.2 The Employer requires the Contractor to disclose any commissions or fees that may have been paid or are to be paid to agents or any other party with respect to the request for proposals process or execution of the Contract. The information disclosed must include at least the name and address of the agent or other party, the amount and currency, and the purpose of the commission, gratuity or fee.” |
| Sub-Clause 16.1**Suspension by Contractor** | The following paragraph is inserted after the first paragraph:“Notwithstanding the above, if the Bank has suspended disbursements under the loan or credit from which payments to the Contractor are being made, in whole or in part, for the execution of the Works, and no alternative funds are available as provided for in Sub-Clause 2.4 [Employer’s Financial Arrangements], the Contractor may by notice suspend work or reduce the rate of work at any time, but not less than 7 days after the Borrower having received the suspension notification from the Bank.” |
| Sub-Clause 16.2.1**Notice** | Sub-paragraph (j) is deleted in its entirety. At the end of sub-paragraph (i): “; or” is replaced with: “.” sub-paragraph (f) is replaced with:  “(f) the Contractor does not receive a Notice of the Commencement Date under Sub-Clause 8.1 [*Commencement of Works*] within 180 days after receiving the Letter of Acceptance, for reasons not attributable to the Contractor.”  |
| Sub-Clause 16.2.2Termination | The following is added at the end of Sub-Clause 16.2.2:“In the event the Bank suspends the loan or credit from which part or whole of the payments to the Contractor are being made, if the Contractor has not received the sums due to him upon expiration of the 14 days referred to in Sub-Clause 14.7 [Payment] for payments under Interim Payment Certificates, the Contractor may, without prejudice to the Contractor's entitlement to financing charges under Sub-Clause 14.8 [Delayed Payment], take one of the following actions, namely (i) suspend work or reduce the rate of work under Sub-Clause 16.1 above, or (ii) terminate the Contract by giving notice to the Employer, with a copy to the Engineer, such termination to take effect 14 days after the giving of the notice.” |
| Sub-Clause 16.3**Contractor’s Obligations After Termination** | *[if the Employer has made available any Employer- Supplied Materials and/or Employer’s Equipment in accordance with Sub-Clause 2.6, include the following:]*“and” is deleted from the end of sub-paragraph (b), sub-paragraph (c) deleted and the following added:* + 1. deliver to the Engineer all Employer- Supplied Materials and/or Employer’s Equipment made available to the Contractor in accordance with Sub-Clause 2.6 *[Employer-Supplied materials and Employer’s Equipment]; and*
		2. remove all other Goods from the Site, except as necessary for safety, and leave the Site.”
 |
| Sub-Clause 17.1 Responsibility for Care of the Works | *[ If Employer- Supplied Materials are listed in the Employer’s Requirements for the Contractor’s use in the execution of Works, include the following provision. See also Sub-Clause 2.6* [*Employer-Supplied Materials and Employer’s Equipment]]*After the two instances of “Goods” in the last paragraph, the following is added: “Employer- Supplied Materials”.*[If Employer’s Equipment are listed in the Employer’s Requirements for the Contractor’s use in the execution of Works, include the following provision. See also Sub-Clause 2.6* [*Employer-Supplied Materials and Employer’s Equipment]]*After the two instances of “Goods” in the last paragraph, the following is added: “, Employer’s Equipment,”. |
| Sub-Clause 17.7**Use of Employer’s Accommodation/Facilities** | The following Sub-Clause is added as 17.7:“The Contractor shall take full responsibility for the care of the Employer-provided accommodation and facilities, if any, as detailed in the Employer’s Requirements, from the respective dates of hand-over to the Contractor until cessation of occupation (where hand-over or cessation of occupation may take place after the date stated in the Taking-Over Certificate for the Works).If any loss or damage happens to any of the above items while the Contractor is responsible for their care arising from any cause whatsoever other than those for which the Employer is liable, the Contractor shall, at its own cost, rectify the loss or damage to the satisfaction of the Engineer.” |
| Sub-Clause 18.1Exceptional Events | Sub-paragraph (c) is substituted with: “(c) riot, commotion, disorder or sabotage by persons other than the Contractor’s Personnel and other employees of the Contractor and Subcontractors;”  |
| Sub-Clause 18.4**Consequences of an Exceptional Event** | The following is added at the end of sub-paragraph (b) after deleting the “.”: “, including the costs of rectifying or replacing the Works and/or Goods damaged or destroyed by Exceptional Events, to the extent they are not indemnified through the insurance policy referred to in Sub-Clause 19.2 [ Insurance to be provided by the Contractor].” |
| Sub-Clause 18.5Optional Termination | In sub-paragraph (c), “and necessarily” is inserted after ““was reasonably”.  |
| Sub-Clause 19.1General Requirements | The following paragraphs are added after the first: “Wherever the Employer is the insuring Party, each insurance shall be effected with insurers and in terms acceptable to the Contractor. These terms shall be consistent with terms (if any) agreed by both Parties before the date of the Letter of Acceptance. This agreement of terms shall take precedence over the provisions of this Clause." |
| Sub-Clause 19.2**insurance to be provided by the Contractor** | The following is inserted as the first sentence in Sub-Clause 19.2: “The Contractor shall be entitled to place all insurances relating to the Contract (including, but not limited to the insurance referred to in Clause 19) with insurers from any eligible source country.” |
| Sub-Clause 19.2.5Injury to employees | The second paragraph is replaced with:“The Employer and the Engineer shall also be indemnified under the policy of insurance, against liability for claims, damages, losses and expenses (including legal fees and expenses) arising from injury, sickness, disease or death of any person employed by the Contractor or any other of the Contractor’s Personnel, except that this insurance may exclude losses and claims to the extent that they arise from any act or neglect of the Employer or of the Employer's Personnel.”  |
| Sub-Clause 20.1Claims | In a): “any additional payment” is replaced with “payment”. |
| Sub-Clause 20.2**Claims for Payment and/or EOT** | The first paragraph is replaced with: “If either Party considers that it is entitled to claim under Sub- clause 20.1[*Claims*] (a) or (b), the following claim procedure shall apply:” |
| Sub-Clause 21.1Constitution of the DAAB | The following is added at the end of the first paragraph: “The DAAB shall also review and decide on any SEA/SH Referral submitted to the DAAB pursuant to Sub-Clause 6.27.2 [*Receipt of SEA/SH allegations*] and Sub-Clause 6.27.3 [*Contractor’s non-compliance with SEA/SH contractual obligations*], in accordance with Sub-Clause 21.9 [*SEA/SH Referrals].*In the second paragraph, at the end of the first sentence after deleting: “.”, the following is added: “, each of whom shall meet the criteria set forth in Sub-Clause 3.3 of Appendix- General Conditions of Dispute Avoidance/ Adjudication Agreement.”After the second paragraph insert the following paragraph: “If the Contract is with a foreign Contractor, the DAAB members shall not have the same nationality as the Employer or the Contractor.” |
| Sub-Clause 21.2Failure to Appoint DAAB Member (s) | For both (a) and (b): “by the date stated in the first paragraph of Sub-Clause 21.1 [*Constitution of the DAAB*]” is replaced with: “within 42 days from the date the Contract is signed by both Parties”.”  |
| Sub-Clause 21.6Arbitration  | In the first paragraph, “unless otherwise agreed by both Parties:” is deleted and replaced with: “ The Parties agree:”  |
| **The following new Sub-Clauses 21.9 to 21.11 are added** |
| Sub-Clause 21.9 SEA/SH Referrals | SEA/SH Referrals pursuant to Sub-Clause 6.27 shall be submitted by the Employer to the DAAB in writing, copied to the Contractor and the Engineer. For a DAAB of three persons, the SEA/SH Referrals shall be deemed to have been received by the DAAB on the date it is received by the chairperson of the DAAB. Upon receipt of a SEA/SH Referral, the DAAB shall request the Contractor in writing (copied to the Employer and the Engineer) to submit a statement demonstrating its compliance, including the compliance of any Subcontractor identified in the SEA/SH Referral, with the SEA/SH Prevention and Response Obligations, including the actions taken in response to a SEA/SH allegation and/or any Engineer’s Notice to Correct for non-compliance with the SEA/SH contractual obligations. The Contractor shall within 28 days of receipt of this request, submit in writing such statement to the DAAB copied to the Employer and the Engineer. In reviewing the Referral, the DAAB shall focus exclusively on compliance of the Contractor, including any Subcontractor identified in the SEA/SH Referral, with the SEA/SH Prevention and Response Obligations, including the actions taken in response to the SEA/SH allegation and/or any Engineer’s Notice to Correct for non-compliance with the SEA/SH obligations. The DAAB shall not assess the merits of an underlying allegation, including the factual aspects of the alleged SEA and/or SH incident.The DAAB decision, which shall state that it is issued under this Sub-Clause 21.9, shall be provided in writing to the Parties with a copy to the Engineer within 42 days of receiving the SEA/SH Referral. The decision of the DAAB taken pursuant to this Sub-Clause 21.9 shall be binding on the Parties and any of its Subcontractor/s as applicable.The DAAB decision arising from an allegation of SEA/SH incident shall state whether the Contractor, including any Subcontractor identified in the SEA/SH referral, was in compliance with its SEA/SH obligations at the time of occurrence of the alleged incident. The DAAB decision shall not disclose the name of the alleged survivor nor of the alleged perpetrator. |
| Sub-Clause 21.10Dissatisfaction with DAAB’s decision on SEA/SH Referrals | If either Party is dissatisfied with the DAAB’s decision issued under Sub-Clause 21.9 [SEA/SH Referrals], such Party may give a NOD to the other Party in accordance with Sub-Clause 21.4.4 [Dissatisfaction with DAAB’s decision]. Sub-Clause 21.5 *[Amicable Settlement]* shall not apply.If the DAAB’s decision has not become final and binding pursuant to Sub-Clause 21.4.4, the matter shall be finally settled by arbitration in accordance with Sub-Clause 21.6 *[Arbitration].*Where arbitration is conducted pursuant to the ICC Arbitration Rules, the parties agree that the time limit set in Article 1.6 of Appendix V to the ICC Arbitration Rules shall be 10 days from the notification of the Emergency Arbitrator Order unless the President of the ICC International Court of Arbitration determines that a longer period is necessary. |
| Sub-Clause 21.11Bank’s disqualification of the Contractor and its Subcontractor/s | The Employer shall immediately notify the Bank of the DAAB’s decision on SEA/SH Referral, any notification received on the commencement of Emergency Arbitration, and the Emergency Arbitrator Order if any. If the DAAB determines that the Contractor has failed to correct identified non-compliance with SEA/SH Prevention and Response Obligation or it was non-compliant with such obligations at the time of an alleged incident, the Bank may disqualify the Contractor, as well as any Subcontractor/s determined to be non-compliant, from being awarded a Bank-financed contract unless the ICC Emergency Arbitrator grants an order in favor of the Contractor. The disqualification period shall be for two years unless the Contractors receives an arbitration award in its favor within the two year period. The Contractor’s disqualification under this Sub-Clause is without prejudice to the Parties’ rights and obligations under the Contract. |
| **Appendix- General Conditions of Dispute Avoidance/Adjudication Agreement** |
| **1. Definitions** | Sub-Clause 1.3 “DAAB Activities” is replaced with Sub-Clause 1.4 “DAAB Activities” and the subsequent Sub- Clauses under Clause 1 “Definitions” renumbered:Sub-Clause 1.4 “DAAB Activities”. At the end, the following is added: “This also includes handling of SEA/SH Referrals in accordance with Sub-Clause 21.9 of the Conditions of Contract.”In Sub-Clause 1.8 a(i):” authorised representative of the contractor or of the Employer” is replaced with: “Contractor’s Representative and authorised representative of the Employer” |
| **2.General provisions** | Sub-Clause 2.2 is deleted in its entirety. |
| **3. Warranties** | Sub-Clause 3.3 is deleted and replaced with the following:“When appointing the DAAB Member, each Party relies on the DAAB Member’s representations, that he/she:1. has at least a bachelor’s degree in relevant disciplines such as law, engineering, construction management or contract management;
2. has at least ten years of experience in contract administration/management and dispute resolution, out of which at least five years of experience as an arbitrator or adjudicator in construction-related disputes;
3. has received formal training as an adjudicator from an internationally recognized organization;
4. has experience and/or is knowledgeable in the type of work which the Contractor is to carry out under the Contract;
5. has experience in the interpretation of construction and/or engineering contract documents;
6. has familiarity with the forms of contract published by FIDIC since 1999, and an understanding of the dispute resolution procedures contained therein; and
7. is fluent in the language for communications stated in the Contract Data (or the language as agreed between the Parties and the DAAB).”
 |
| **7. Confidentiality** | In Sub-Clause 7.3: “or” is deleted after sub-paragraph (b).  and the following sub-paragraphs added: “(d) is being provided to the Bank” |
| **9. Fees and Expenses** | In Sub-Clause 9.1 c): “business class or equivalent” is replaced with: “in less than first class” |
|  | In Sub-Clause 9.4: “and air fares” and “other” are deleted from the first and second sentences respectively. |
| **Annex- DAAB Procedural Rules** |
| Rule 3.3 | In 3.3 (b), “140 days” is replaced with: “90 days”. |
| Rule 3.7 | The following is added after the sentence: “The agenda shall include review of the (i) Contractor’s compliance with the SEA/SH Prevention and Response Obligations; and (ii) Engineer’s failure to discharge its duties under the Contract in this regard, including as specified in Sub-Clause 6.27 of the Contract Conditions.” |
| Rule 3.10 | The following is added at the end of the paragraph: “The report shall identify any issue which raises SEA and/or SH concerns, including details of any potential noncompliance of the Contractor, including its Subcontractor/s, with the SEA/SH Prevention and Response Obligations.” The DAAB shall also provide a report to the Employer on any potential failure of the Engineer to discharge its duties in regard to the SEA/SH Prevention and Response Obligations, including on identifying the Contractor’s failure to comply with the obligations, and the Notice to Correct and notification duties in accordance with Sub-Clause 6.27 of the Contract Conditions.” |

**Particular Conditions**

**Part C- Fraud and Corruption**

***(Text in this Particular Conditions - Part C*** ***shall not be modified)***

1. **Purpose**

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

2. **Requirements**

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

2.2 To this end, the Bank:

a. Defines, for the purposes of this provision, the terms set forth below as follows:

i. “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;

ii. “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;

iii. “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;

iv. “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;

v. “obstructive practice” is:

(a) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harass or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or

(b) acts intended to materially impede the exercise of the Bank’s inspection and audit rights provided for under paragraph 2.2 e. below.

b. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/ or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;

c. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring misprocurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;

d. Pursuant to the Bank’s Anti- Corruption Guidelines and in accordance with the Bank’s prevailing sanctions policies and procedures, may sanction a firm or individual, either indefinitely or for a stated period of time, including by publicly declaring such firm or individual ineligible (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner[[18]](#footnote-19); (ii) to be a nominated [[19]](#footnote-20) sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract; and (iii) to receive the proceeds of any loan made by the Bank or otherwise to participate further in the preparation or implementation of any Bank-financed project;

e. Requires that a clause be included in bidding/request for proposals documents and in contracts financed by a Bank loan, requiring (i) bidders, consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel, permit the Bank to inspect [[20]](#footnote-21) all accounts, records and other documents relating to the submission of bids and contract performance, and to have them audited by auditors appointed by the Bank.

**Particular Conditions**

 **Part D- Environmental and Social (ES)**

**Metrics for Progress Reports**

***[Note to Employer: the following metrics may be amended to reflect the specifics of the Contract. The metrics that are required should be determined by the ES risks and impacts of the Works.]***

*Metrics for regular reporting:*

*environmental incidents or non-compliances with contract requirements, including contamination, pollution or damage to ground or water supplies;*

*health and safety incidents, accidents, injuries that require treatment and all fatalities;*

*interactions with regulators: identify agency, dates, subjects, outcomes (report the negative if none);*

*status of all permits and agreements:*

* + 1. work permits: number required, number received, actions taken for those not received;
		2. status of permits and consents:
	+ list areas/facilities with permits required (quarries, asphalt & batch plants), dates of application, dates issued (actions to follow up if not issued), dates submitted to resident engineer (or equivalent), status of area (waiting for permits, working, abandoned without reclamation, decommissioning plan being implemented, etc.);
	+ list areas with landowner agreements required (borrow and spoil areas, camp sites), dates of agreements, dates submitted to resident engineer (or equivalent);
	+ identify major activities undertaken in each area in the reporting period and highlights of environmental and social protection (land clearing, boundary marking, topsoil salvage, traffic management, decommissioning planning, decommissioning implementation);
	+ for quarries: status of relocation and compensation (completed, or details of activities and current status in the reporting period).

*health and safety supervision:*

1. safety officer: number days worked, number of full inspections & partial inspections, reports to construction/project management;
2. number of workers, work hours, metric of PPE use (percentage of workers with full personal protection equipment (PPE), partial, etc.), worker violations observed (by type of violation, PPE or otherwise), warnings given, repeat warnings given, follow-up actions taken (if any);

*worker accommodations:*

1. number of expats housed in accommodations, number of locals;
2. date of last inspection, and highlights of inspection including status of accommodations’ compliance with national and local law and good practice, including sanitation, space, etc.;
3. actions taken to recommend/require improved conditions, or to improve conditions.

*Health services: provider of health services, information and/or training, location of clinic, number of non-safety disease or illness treatments and diagnoses (no names to be provided);*

*gender (for expats and locals separately): number of female workers, percentage of workforce, gender issues raised and dealt with (cross-reference grievances or other sections as needed);*

*training:*

1. number of new workers, number receiving induction training, dates of induction training;
2. number and dates of toolbox talks, number of workers receiving Occupational Health and Safety (OHS), environmental and social training;
3. number and dates of communicable diseases (including STDs) sensitization and/or training, no. workers receiving training (in the reporting period and in the past); same questions for gender sensitization, flag person training.
4. number and date of SEA and SH prevention sensitization and/or training events, including number of workers receiving training on Code of Conduct for Contractor’s Personnel (in the reporting period and in the past), etc.

*environmental and social supervision:*

1. environmentalist: days worked, areas inspected and numbers of inspections of each (road section, work camp, accommodations, quarries, borrow areas, spoil areas, swamps, forest crossings, etc.), highlights of activities/findings (including violations of environmental and/or social best practices, actions taken), reports to environmental and/or social specialist/construction/site management;
2. sociologist: days worked, number of partial and full site inspections (by area: road section, work camp, accommodations, quarries, borrow areas, spoil areas, clinic, HIV/AIDS center, community centers, etc.), highlights of activities (including violations of environmental and/or social requirements observed, actions taken), reports to environmental and/or social specialist/construction/site management; and
3. community liaison person(s): days worked (hours community center open), number of people met, highlights of activities (issues raised, etc.), reports to environmental and/or social specialist /construction/site management.

*Grievances: list new grievances (e.g. allegations of SEA and SH) received in the reporting period and unresolved past grievances by date received, complainant, how received, to whom referred to for action, resolution and date (if completed), data resolution reported to complainant, any required follow-up (Cross-reference other sections as needed):*

1. Worker grievances;
2. Community grievances

l. *Traffic, road safety and vehicles/equipment:*

1. traffic and road safety incidents and accidents involving project vehicles & equipment: provide date, location, damage, cause, follow-up;
2. traffic and road safety incidents and accidents involving non-project vehicles or property (also reported under immediate metrics): provide date, location, damage, cause, follow-up;
3. overall condition of vehicles/equipment (subjective judgment by environmentalist); non-routine repairs and maintenance needed to improve safety and/or environmental performance (to control smoke, etc.).

*Environmental mitigations and issues (what has been done):*

1. dust: number of working bowsers, number of waterings/day, number of complaints, warnings given by environmentalist, actions taken to resolve; highlights of quarry dust control (covers, sprays, operational status); % of rock/ spoil lorries with covers, actions taken for uncovered vehicles;
2. erosion control: controls implemented by location, status of water crossings, environmentalist inspections and results, actions taken to resolve issues, emergency repairs needed to control erosion/sedimentation;
3. quarries, borrow areas, spoil areas, asphalt plants, batch plants: identify major activities undertaken in the reporting period at each, and highlights of environmental and social protection: land clearing, boundary marking, topsoil salvage, traffic management, decommissioning planning, decommissioning implementation;
4. blasting: number of blasts (and locations), status of implementation of blasting plan (including notices, evacuations, etc.), incidents of off-site damage or complaints (cross-reference other sections as needed);
5. spill clean-ups, if any: material spilled, location, amount, actions taken, material disposal (report all spills that result in water or soil contamination;
6. waste management: types and quantities generated and managed, including amount taken offsite (and by whom) or reused/recycled/disposed on-site;
7. details of tree plantings and other mitigations required undertaken in the reporting period;
8. details of water and swamp protection mitigations required undertaken in the reporting period.

*compliance:*

1. compliance status for conditions of all relevant consents/permits, for the Work, including quarries, etc.): statement of compliance or listing of issues and actions taken (or to be taken) to reach compliance;
2. compliance status of C-ESMP/ESIP requirements: statement of compliance or listing of issues and actions taken (or to be taken) to reach compliance
3. compliance status of SEA and SH prevention and response action plan: statement of compliance or listing of issues and actions taken (or to be taken) to reach compliance
4. compliance status of Health and Safety Management Plan re: statement of compliance or listing of issues and actions taken (or to be taken) to reach compliance
5. other unresolved issues from previous reporting periods related to environmental and social: continued violations, continued failure of equipment, continued lack of vehicle covers, spills not dealt with, continued compensation or blasting issues, etc. Cross-reference other sections as needed

**Particular Conditions**

**Part E- Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment Performance Declaration for Subcontractors**

*[The following table shall be filled in by each subcontractor proposed by the Contractor, that was not named in the Contract ]*

Subcontractor’s Name: *[insert full name]* Date: *[insert day, month, year]* Contract reference *[insert contract reference]* Page *[insert page number]* of *[insert total number]* pages

|  |
| --- |
| **SEA and/or SH Declaration**  |
| We:🞎 (a) have not been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations.🞎 (b) are subject to disqualification by the Bank for non-compliance with SEA/ SH obligations.🞎 (c) had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations. An arbitral award on the disqualification case has been made in our favor. 🞎 (d) had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations for a period of two years. We have subsequently demonstrated that we have adequate capacity and commitment to comply with SEA /SH obligations. 🞎 (e) had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations for a period of two years. We have attached specific evidence demonstrating that we have adequate capacity and commitment to comply with SEA and SH obligations. |
| **[*If (c) above is applicable*, *attach evidence of an arbitral award reversing the findings on the issues underlying the disqualification.]*** |
| ***[If (d) or ( e) above are applicable, provide the following information:]*** |
| Period of disqualification: From: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ To: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| If previously provided on another Bank financed works contract, details of evidence that demonstrated adequate capacity and commitment to comply with SEA/SH obligations (**as per (d) above)**Name of Employer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Name of Project: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Contract description: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Brief summary of evidence provided: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Contact Information: (Tel, email, name of contact person): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| As an alternative to the evidence under (d), other evidence demonstrating adequate capacity and commitment to comply with SEA/SH obligations (**as per (e) above) )** *[attach details as appropriate].*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

Name of the Subcontractor

Name of the person duly authorized to sign on behalf of the Subcontractor \_\_\_\_\_\_\_

Title of the person signing on behalf of the Subcontractor \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of the person named above \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date signed \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, \_\_\_\_\_

Countersignature of authorized representative of the Contractor:

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date signed \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, \_\_\_\_\_

Section X - Contract Forms

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Notification of Intention to Award

***[This Notification of Intention to Award shall be sent to each Proposer that submitted a Proposal, unless the Proposer has previously received notice of exclusion from the process at an interim stage of the procurement process.]***

***[Send this Notification to the Proposer’s Authorized Representative named in the Proposer Information Form]***

For the attention of Proposer’s Authorized Representative

Name: *[insert Authorized Representative’s name]*

Address: *[insert Authorized Representative’s Address]*

Telephone/Fax numbers: *[insert Authorized Representative’s telephone/fax numbers]*

Email Address: *[insert Authorized Representative’s email address]*

***[IMPORTANT: insert the date that this Notification is transmitted to all participating Proposers. The Notification must be sent to all Proposers simultaneously. This means on the same date and as close to the same time as possible.]***

**DATE OF TRANSMISSION**: This Notification is sent by: *[email/fax]* on *[date]* (local time)

**Notification of Intention to Award**

**Employer:** *[insert the name of the Employer]*

**Project:***[insert name of project]*

**Contract title:** *[insert the name of the contract]*

**Country:** *[insert country where RFP is issued]*

**Loan No. /Credit No. / Grant No.:** *[insert reference number for loan/credit/grant]*

**RFP No:** *[insert RFP reference number from Procurement Plan]*

This Notification of Intention to Award (Notification) notifies you of our decision to award the above contract. The transmission of this Notification begins the Standstill Period. During the Standstill Period you may:

1. request a debriefing in relation to the evaluation of your Proposal, and/or
2. submit a Procurement-related Complaint in relation to the decision to award the contract.
3. **The successful Proposer**

|  |  |
| --- | --- |
| **Name:** | *[insert name of successful Proposer]* |
| **Address:** | *[insert address of the successful Proposer]* |
| **Contract price:** | *[insert contract price of the successful Proposer]* |
| **Total combined score:** | *[insert the total combined score of the successful Proposer]* |

1. **Other Proposers *[INSTRUCTIONS: insert names of all Proposers that submitted a Proposal. If the Proposal’s price was evaluated include the evaluated price as well as the Proposal price as read out.]***

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of Proposer** | **Technical Score** | **Proposal price** | **Evaluated Proposal Cost** **(if applicable)** | **Combined Score** |
| *[insert name]* | *[insert Technical score]* | *[insert Proposal price]* | *[insert evaluated cost]* | *[insert combined score]* |
| *[insert name]* | *[insert Technical score]* | *[insert Proposal price]* | *[insert evaluated cost]* | *[insert combined score]* |
| *[insert name]* | *[insert Technical score]* | *[insert Proposal price]* | *[insert evaluated cost]* | *[insert combined score]* |
| *[insert name]* | *[insert Technical score]* | *[insert Proposal price]* | *[insert evaluated cost]* | *[insert combined score]* |
| *[insert name]* | *[insert Technical score]* | *[insert Proposal price]* | *[insert evaluated cost]* | *[insert combined score]* |

1. **Reason/s why your Proposal was unsuccessful *[Delete if the combined score already reveals the reason]***

|  |
| --- |
| ***[INSTRUCTIONS; State the reason/s why this Proposer’s Proposal was unsuccessful. Do NOT include: (a) a point by point comparison with another Proposer’s Proposal or (b) information that is marked confidential by the Proposer in its Proposal.]*** |

1. **How to request a debriefing**

|  |
| --- |
| **DEADLINE: The deadline to request a debriefing expires at midnight on *[insert date]* (local time).**You may request a debriefing in relation to the results of the evaluation of your Proposal. If you decide to request a debriefing your written request must be made within three (3) Business Days of receipt of this Notification of Intention to Award. Provide the contract name, reference number, name of the Proposer, contact details; and address the request for debriefing as follows:**Attention**: *[insert full name of person, if applicable]***Title/position**: *[insert title/position]***Agency**: *[insert name of Employer]***Email address**: *[insert email address]***Fax number**: *[insert fax number]* ***delete if not used***If your request for a debriefing is received within the 3 Business Days deadline, we will provide the debriefing within five (5) Business Days of receipt of your request. If we are unable to provide the debriefing within this period, the Standstill Period shall be extended by five (5) Business Days after the date that the debriefing is provided. If this happens, we will notify you and confirm the date that the extended Standstill Period will end. The debriefing may be in writing, by phone, video conference call or in person. We shall promptly advise you in writing how the debriefing will take place and confirm the date and time.If the deadline to request a debriefing has expired, you may still request a debriefing. In this case, we will provide the debriefing as soon as practicable, and normally no later than fifteen (15) Business Days from the date of publication of the Contract Award Notice. |

1. **How to make a complaint**

|  |
| --- |
| **DEADLINE: The deadline for submitting a Procurement-related Complaint challenging the decision to award the contract expires on midnight, [*insert date*] (local time).**Provide the contract name, reference number, name of the Proposer, contact details; and address the Procurement-related Complaint as follows:**Attention**: *[insert full name of person, if applicable]***Title/position**: *[insert title/position]***Agency**: *[insert name of Employer]***Email address**: *[insert email address]***Fax number**: *[insert fax number]* ***delete if not used***At this point in the procurement process, you may submit a Procurement-related Complaint challenging the decision to award the contract. You do not need to have requested, or received, a debriefing before making this complaint. Your complaint must be submitted within the Standstill Period and received by us before the Standstill Period ends.Further information:For more information, see the “[Procurement Regulations for IPF Borrowers](https://policies.worldbank.org/sites/ppf3/PPFDocuments/Forms/DispPage.aspx?docid=4005) (Procurement Regulations) (Annex III).” You should read these provisions before preparing and submitting your complaint. In addition, the World Bank’s Guidance “[How to make a Procurement-related Complaint](file:///F%3A%5C2.%20%20World%20Bank%202017%5C17.%20Tools%20and%20Templates%5CNIA%5Cget%20the%20address%20once%20it%20is%20published)” provides a useful explanation of the process, as well as a sample letter of complaint.In summary, there are four essential requirements:1. You must be an ‘interested party’. In this case, that means a Proposer who submitted a Proposal in this procurement, and is the recipient of a Notification of Intention to Award.
2. The complaint can only challenge the decision to award the contract.
3. You must submit the complaint within the deadline stated above.
4. You must include, in your complaint, all of the information required by the Procurement Regulations (as described in Annex III).
 |

1. **Standstill Period**

|  |
| --- |
| **DEADLINE: The Standstill Period is due to end at midnight on *[insert date]* (local time).**The Standstill Period lasts ten (10) Business Days after the date of transmission of this Notification of Intention to Award.The Standstill Period may be extended. This may happen where we are unable to provide a debriefing within the five (5) Business Day deadline. If this happens we will notify you of the extension.  |

If you have any questions regarding this Notification, please do not hesitate to contact us.

On behalf of the Employer:

**Signature:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Name:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Title/position:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Telephone:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Email:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Beneficial Ownership Disclosure Form

*INSTRUCTIONS TO PROPOSERS: DELETE THIS BOX ONCE YOU HAVE COMPLETED THE FORM*

*This Beneficial Ownership Disclosure Form (“Form”) is to be completed by the successful Proposer. In case of joint venture, the Proposer must submit a separate Form for each member. The beneficial ownership information to be submitted in this Form shall be current as of the date of its submission.*

*For the purposes of this Form, a Beneficial Owner of a Proposer is any natural person who ultimately owns or controls the Proposer by meeting one or more of the following conditions:*

* *directly or indirectly holding 25% or more of the shares*
* *directly or indirectly holding 25% or more of the voting rights*
* *directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Proposer*

**RFP No.:** [*insert number of RFP process*]

**Request for Proposal No**.: [*insert identification*]

To: **[*insert complete name of Employer*]**

In response to your request in the Letter of Acceptance *dated [insert date of letter of Acceptance]* to furnish additional information on beneficial ownership: *[select one option as applicable and delete the options that are not applicable]*

(i) we hereby provide the following beneficial ownership information.

**Details of beneficial ownership**

|  |  |  |  |
| --- | --- | --- | --- |
| Identity of Beneficial Owner | Directly or indirectly holding 25% or more of the shares(Yes / No) | Directly or indirectly holding 25 % or more of the Voting Rights(Yes / No) | Directly or indirectly having the right to appoint a majority of the board of the directors or an equivalent governing body of the Proposer(Yes / No) |
| *[include full name (last, middle, first), nationality, country of residence]* |  |  |  |

***OR***

(ii) *We declare that there is no Beneficial Owner meeting one or more of the following conditions:*

* directly or indirectly holding 25% or more of the shares
* directly or indirectly holding 25% or more of the voting rights
* directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Proposer

**OR**

*(iii) We declare that we are unable to identify any Beneficial Owner meeting one or more of the following conditions. [If this option is selected, the Proposer shall provide explanation on why it is unable to identify any Beneficial Owner]*

* directly or indirectly holding 25% or more of the shares
* directly or indirectly holding 25% or more of the voting rights
* directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Proposer]”

**Name of the Proposer**: \*[*insert complete name of the Proposer*]\_\_\_\_\_\_\_\_\_

**Name of the person duly authorized to sign the Proposal on behalf of the Proposer**: \*\*[*insert complete name of person duly authorized to sign the Proposal*]\_\_\_\_\_\_\_\_\_\_\_

**Title of the person signing the Proposal**: [*insert complete title of the person signing the Proposal*]\_\_\_\_\_\_

**Signature of the person named above**: [*insert signature of person whose name and capacity are shown above*]\_\_\_\_\_

**Date signed** [*insert date of signing*] **day of** [*insert month*], [*insert year*]\_\_\_\_\_

\* In the case of the Proposal submitted by a Joint Venture specify the name of the Joint Venture as Proposer. In the event that the Proposer is a joint venture, each reference to “Proposer” in the Beneficial Ownership Disclosure Form (including this Introduction thereto) shall be read to refer to the joint venture member.

\*\* Person signing the Proposal shall have the power of attorney given by the Proposer. The power of attorney shall be attached with the Proposal Schedules.

Letter of Acceptance

*[letterhead paper of the Employer]*

*[date]*

To: *[name and address of the Contractor]*

This is to notify you that your Proposal dated *[date]* for execution of the *[name of the Contract and identification number, as given in the Contract Data]* for the Accepted Contract Amount *[amount in numbers and words] [name of currency]*, as corrected and modified in accordance with the Instructions to Proposers, is hereby accepted by our Agency.

You are requested to furnish (i) the Performance Security and an Environmental and Social Performance Security ***[Delete ES Performance Security if it is not required under the contract]*** within 28 days in accordance with the Conditions of Contract, using, for that purpose, one of the Performance Security Forms and the ES Performance Security Form, ***[Delete reference to the ES Performance Security Form if it is not required under the contract]*** and (ii) the additional information on beneficial ownership in accordance with **PDS ITP 53.1** within eight (8) Business days using the Beneficial Ownership Disclosure Form, included in Section X, Contract Forms, of the RFP document.

Authorized Signature:

Name and Title of Signatory:

Name of Agency:

**Attachment:** Contract Agreement

Contract Agreement

THIS AGREEMENT made the \_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, \_\_\_\_\_, between \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (hereinafter “the Employer”), of the one part, and \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (hereinafter “the Contractor”), of the other part:

WHEREAS the Employer desires that the Works known as \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ should be executed by the Contractor, and has accepted a Proposal by the Contractor for the execution and completion of these Works and the remedying of any defects therein,

The Employer and the Contractor agree as follows:

1. In this Agreement words and expressions shall have the same meanings as are respectively assigned to them in the Contract documents referred to.

2. The following documents shall be deemed to form and be read and construed as part of this Agreement. This Agreement shall prevail over all other Contract documents.

1. the Letter of Acceptance
2. the Letter of Proposal
3. the addenda Nos \_\_\_\_\_\_\_\_(if any)
4. the Particular Conditions
5. the Geotechnical Baseline Report
6. the General Conditions
7. the Employer’s Requirements, except for the the Geotechnical Baseline Report, and the Geotechnical Data Report,
8. the completed other Schedules, and
9. the Contractor’s Proposal and any other documents forming part of the Contract including, but not limited to:
	* 1. Code of Conduct for Contractor’s Personnel (ES);
		2. Sexual Exploitation and Abuse (SEA), and/or Sexual Harassment (SH) Declaration; and

iii. Geotechnical Data Report.

3. In consideration of the payments to be made by the Employer to the Contractor as specified in this Agreement, the Contractor hereby covenants with the Employer to execute the Works and to remedy defects therein in conformity in all respects with the provisions of the Contract.

4. The Employer hereby covenants to pay the Contractor in consideration of the execution and completion of the Works and the remedying of defects therein, the Contract Price or such other sum as may become payable under the provisions of the Contract at the times and in the manner prescribed by the Contract.

IN WITNESS whereof the parties hereto have caused this Agreement to be executed in accordance with the laws of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ on the day, month and year specified above.

Signed by \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (for the Employer)

Signed by \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (for the Contractor)

Performance Security *–* Option 1: Demand Guarantee

*[Guarantor letterhead or SWIFT identifier code]*

**Beneficiary:** *[insert name and Address of Employer]*

**Date:** *[Insert date of issue]*

**PERFORMANCE GUARANTEE No.:** *[Insert guarantee reference number]*

**Guarantor:** *[Insert name and address of place of issue, unless indicated in the letterhead]*

We have been informed that \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (hereinafter called “the Applicant”) has entered into Contract No. \_\_\_\_\_\_\_\_\_\_\_\_\_ dated \_\_\_\_\_\_\_\_\_\_\_\_ with the Beneficiary, for the execution of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (hereinafter called “the Contract”).

Furthermore, we understand that, according to the conditions of the Contract, a performance guarantee is required.

At the request of the Applicant, we as Guarantor, hereby irrevocably undertake to pay the Beneficiary any sum or sums not exceeding in total an amount of \_\_\_\_\_\_\_\_\_\_\_ ( ),[[21]](#footnote-22)1 such sum being payable in the types and proportions of currencies in which the Contract Price is payable, upon receipt by us of the Beneficiary’s complying demand supported by the Beneficiary’s statement, whether in the demand itself or in a separate signed document accompanying or identifying the demand, stating that the Applicant is in breach of its obligation(s) under the Contract without the Beneficiary needing to prove or to show grounds for your demand or the sum specified therein.

This guarantee shall expire, no later than the …. Day of ……, 2… [[22]](#footnote-23)2, and any demand for payment under it must be received by us at this office indicated above on or before that date.

This guarantee is subject to the Uniform Rules for Demand Guarantees (URDG) 2010 Revision, ICC Publication No. 758, except that the supporting statement under Article 15(a) is hereby excluded.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
*[signature(s)]*

***Note: All italicized text (including footnotes) is for use in preparing this form and shall be deleted from the final product.***

Performance Security *–* Option 2: Performance Bond

By this Bond\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ as Principal (hereinafter called “the Contractor”) and\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_] as Surety (hereinafter called “the Surety”), are held and firmly bound unto\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_] as Obligee (hereinafter called “the Employer”) in the amount of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, for the payment of which sum well and truly to be made in the types and proportions of currencies in which the Contract Price is payable, the Contractor and the Surety bind themselves, their heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

WHEREAS the Contractor has entered into a written Agreement with the Employer dated the day of , 20 , for \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ in accordance with the documents, plans, specifications, and amendments thereto, which to the extent herein provided for, are by reference made part hereof and are hereinafter referred to as the Contract.

NOW, THEREFORE, the Condition of this Obligation is such that, if the Contractor shall promptly and faithfully perform the said Contract (including any amendments thereto), then this obligation shall be null and void; otherwise, it shall remain in full force and effect. Whenever the Contractor shall be, and declared by the Employer to be, in default under the Contract, the Employer having performed the Employer’s obligations thereunder, the Surety may promptly remedy the default, or shall promptly:

(1) complete the Contract in accordance with its terms and conditions; or

(2) obtain a Proposal or Proposals from qualified Proposers for submission to the Employer for completing the Contract in accordance with its terms and conditions, and upon determination by the Employer and the Surety of the lowest responsive Proposer, arrange for a Contract between such Proposer and Employer and make available as work progresses (even though there should be a default or a succession of defaults under the Contract or Contracts of completion arranged under this paragraph) sufficient funds to pay the cost of completion less the Balance of the Contract Price; but not exceeding, including other costs and damages for which the Surety may be liable hereunder, the amount set forth in the first paragraph hereof. The term “Balance of the Contract Price,” as used in this paragraph, shall mean the total amount payable by Employer to Contractor under the Contract, less the amount properly paid by Employer to Contractor; or

(3) pay the Employer the amount required by Employer to complete the Contract in accordance with its terms and conditions up to a total not exceeding the amount of this Bond.

The Surety shall not be liable for a greater sum than the specified penalty of this Bond.

Any suit under this Bond must be instituted before the expiration of one year from the date of the issuing of the Taking-Over Certificate.

No right of action shall accrue on this Bond to or for the use of any person or corporation other than the Employer named herein or the heirs, executors, administrators, successors, and assigns of the Employer.

In testimony whereof, the Contractor has hereunto set his hand and affixed his seal, and the Surety has caused these presents to be sealed with his corporate seal duly attested by the signature of his legal representative, this day of 20 .

SIGNED ON on behalf of

By in the capacity of

In the presence of

SIGNED ON on behalf of

By in the capacity of

In the presence of

Environmental and Social (ES ) Performance Security

**ES Demand Guarantee**

*[Guarantor letterhead or SWIFT identifier code]*

**Beneficiary:** *[insert name and Address of Employer]*

**Date:** *[Insert date of issue]*

**ES PERFORMANCE GUARANTEE No.:** *[Insert guarantee reference number]*

**Guarantor:** *[Insert name and address of place of issue, unless indicated in the letterhead]*

We have been informed that \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (hereinafter called “the Applicant”) has entered into Contract No. \_\_\_\_\_\_\_\_\_\_\_\_\_ dated \_\_\_\_\_\_\_\_\_\_\_\_ with the Beneficiary, for the execution of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (hereinafter called “the Contract”).

Furthermore, we understand that, according to the conditions of the Contract, a performance guarantee is required.

At the request of the Applicant, we as Guarantor, hereby irrevocably undertake to pay the Beneficiary any sum or sums not exceeding in total an amount of \_\_\_\_\_\_\_\_\_\_\_ ( ),[[23]](#footnote-24)1 such sum being payable in the types and proportions of currencies in which the Contract Price is payable, upon receipt by us of the Beneficiary’s complying demand supported by the Beneficiary’s statement, whether in the demand itself or in a separate signed document accompanying or identifying the demand, stating that the Applicant is in breach of its Environmental and/or Social (ES ) obligation(s) under the Contract, without the Beneficiary needing to prove or to show grounds for your demand or the sum specified therein.

This guarantee shall expire, no later than the …. Day of ……, 2… [[24]](#footnote-25)2, and any demand for payment under it must be received by us at this office indicated above on or before that date.

This guarantee is subject to the Uniform Rules for Demand Guarantees (URDG) 2010 Revision, ICC Publication No. 758, except that the supporting statement under Article 15(a) is hereby excluded.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
*[signature(s)]*

***Note: All italicized text (including footnotes) is for use in preparing this form and shall be deleted from the final product.***

Advance Payment Security

**Demand Guarantee**

*[Guarantor letterhead or SWIFT identifier code]*

**Beneficiary:** *[insert name and Address of Employer]*

**Date:** *[Insert date of issue]*

**ADVANCE PAYMENT GUARANTEE No.:** *[Insert guarantee reference number]*

**Guarantor:** *[Insert name and address of place of issue, unless indicated in the letterhead]*

We have been informed that \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (hereinafter called “the Applicant”) has entered into Contract No. \_\_\_\_\_\_\_\_\_\_\_\_\_ *dated* \_\_\_\_\_\_\_\_\_\_\_\_ with the Beneficiary, for the execution of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (hereinafter called “the Contract”).

Furthermore, we understand that, according to the conditions of the Contract, an advance payment in the sum \_\_\_\_\_\_\_\_\_\_\_ ( )is to be made against an advance payment guarantee.

At the request of the Applicant, we as Guarantor, hereby irrevocably undertake to pay the Beneficiary any sum or sums not exceeding in total an amount of \_\_\_\_\_\_\_\_\_\_\_ ( ) *[[25]](#footnote-26)1* upon receipt by us of the Beneficiary’s complying demand supported by the Beneficiary’s statement, whether in the demand itself or in a separate signed document accompanying or identifying the demand, stating either that the Applicant:

* + 1. has used the advance payment for purposes other than the costs of mobilization in respect of the Works; or
		2. has failed to repay the advance payment in accordance with the Contract conditions, specifying the amount which the Applicant has failed to repay.

A demand under this guarantee may be presented as from the presentation to the Guarantor of a certificate from the Beneficiary’s bank stating that the advance payment referred to above has been credited to the Applicant on its account number \_\_\_\_\_\_\_\_\_\_\_ at \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

The maximum amount of this guarantee shall be progressively reduced by the amount of the advance payment repaid by the Applicant as specified in copies of interim statements or payment certificates which shall be presented to us. This guarantee shall expire, at the latest, upon our receipt of a copy of the interim payment certificate indicating that ninety (90) percent of the Accepted Contract Amount, less provisional sums, has been certified for payment, or on the \_\_\_ day of \_\_\_\_\_, 2\_\_\_,[[26]](#footnote-27)2 whichever is earlier. Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date.

This guarantee is subject to the Uniform Rules for Demand Guarantees (URDG) 2010 Revision, ICC Publication No. 758, except that the supporting statement under Article 15(a) is hereby excluded.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
*[signature(s)]*

***Note: All italicized text (including footnotes) is for use in preparing this form and shall be deleted from the final product.***

Retention Money Security

**Demand Guarantee**

*[Guarantor letterhead or SWIFT identifier code]*

**Beneficiary:** *[insert name and Address of Employer]*

**Date:** *[Insert date of issue]*

**RETENTION MONEY GUARANTEE No.:** *[Insert guarantee reference number]*

**Guarantor:** *[Insert name and address of place of issue, unless indicated in the letterhead]*

We have been informed that \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ *[insert name of Contractor, which in the case of a joint venture shall be the name of the joint venture]* (hereinafter called “the Applicant”) has entered into Contract No. \_\_\_\_\_\_\_\_\_\_\_\_\_ *[insert reference number of the contract]* dated \_\_\_\_\_\_\_\_\_\_\_\_ with the Beneficiary, for the execution of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ *[insert name of contract and brief description of Works]* (hereinafter called “the Contract”).

Furthermore, we understand that, according to the conditions of the Contract, the Beneficiary retains moneys up to the limit set forth in the Contract (“the Retention Money”), and that when the Taking-Over Certificate has been issued under the Contract and the first half of the Retention Money has been certified for payment, payment of *[insert the second half of the Retention Money* *or* *if* *the amount guaranteed under the Performance Guarantee when the Taking-Over Certificate is issued is less than half of the Retention Money],* the difference between half of the Retention Money and the amount guaranteed under the Performance Security and, if required, the ES Performance Security*]* is to be made against a Retention Money guarantee.

At the request of the Applicant, we, as Guarantor, hereby irrevocably undertake to pay the Beneficiary any sum or sums not exceeding in total an amount of \_\_\_\_\_\_\_\_\_\_\_ *[insert amount in figures]* ( ) *[amount in words][[27]](#footnote-28)1* upon receipt by us of the Beneficiary’s complying demand supported by the Beneficiary’s statement, whether in the demand itself or in a separate signed document accompanying or identifying the demand, stating that the Applicant is in breach of its obligation(s) under the Contract, without your needing to prove or show grounds for your demand or the sum specified therein.

A demand under this guarantee may be presented as from the presentation to the Guarantor of a certificate from the Beneficiary’s bank stating that the second half of the Retention Money as referred to above has been credited to the Applicant on its account number \_\_\_\_\_\_\_\_\_\_\_ at \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ *[insert name and address of Applicant’s bank]*.

This guarantee shall expire no later than the …. Day of ……, 2… [[28]](#footnote-29)2, and any demand for payment under it must be received by us at the office indicated above on or before that date.

This guarantee is subject to the Uniform Rules for Demand Guarantees (URDG) 2010 Revision, ICC Publication No. 758, except that the supporting statement under Article 15(a) is hereby excluded.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
*[signature(s)]*

***Note: All italicized text (including footnotes) is for use in preparing this form and shall be deleted from the final product.***

1. Substitute “contracts” where Proposals are called concurrently for multiple contracts. Add a new para. 3 and renumber paras 3 - 8 as follows: “Proposers may submit Proposal for one or several contracts, as further defined in the RFP Document.” [↑](#footnote-ref-2)
2. Insert if applicable: “This contract will be jointly financed by [insert name of cofinancing agency]. Procurement process will be governed by the World Bank’s Procurement Regulations.” [↑](#footnote-ref-3)
3. A brief description of the type(s) of the Underground Works that should be provided, including location, Design and construction period, Functional/performance requirements and other information necessary to enable potential Proposers to decide whether or not to respond to the Request for Proposals. [↑](#footnote-ref-4)
4. The office for inquiry and issuance of RFP Document and that for Proposal submission may or may not be the same. [↑](#footnote-ref-5)
5. The fee chargeable should only be nominal to defray reproduction and mailing costs. An amount between US$50 and US$300 or equivalent is deemed appropriate. [↑](#footnote-ref-6)
6. For example, cashier’s check, direct deposit to specified account number, etc. [↑](#footnote-ref-7)
7. The delivery procedure is usually airmail for overseas delivery and surface mail or courier for local delivery. If urgency or security dictates, courier services may be required for overseas delivery. With the agreement of the World Bank, documents may be distributed by e-mail, downloading from authorized web site(s) or electronic procurement system. [↑](#footnote-ref-8)
8. Substitute the address for Proposal submission if it is different from address for inquiry and issuance of RFP Document. [↑](#footnote-ref-9)
9. The time given to Proposers for the preparation of their Second Stage Proposals should be adequate for the effort needed to update their First Stage Proposals in line with any addendum issued with the invitation and any Proposer-specific memoranda, the expected complexity of price schedules, and any other factors that may be relevant. However, the allotted time should normally not be less than four weeks so that Proposers have at least one week for the submission of any further clarification questions.

The dates of the deadline for Proposal submission and of Proposal opening should be the same, and the time for proposal opening should be same or immediately after the time for proposal submission.

The period should be sufficient to permit completion of the Second Stage Proposal evaluation, review of the recommended selection by the Bank if required, obtaining of approvals and notification of award. A realistic period (e.g., not less than sixty [60] days) should be specified in order to avoid the need for extension. [↑](#footnote-ref-10)
10. If the RFP Documents allow for lots or slices that may be procured separately, the amounts of Proposal security have to be defined per lot or slice. The amount of security should not be set so high as to discourage Proposers. If no Proposal security is required, this paragraph should say so. [↑](#footnote-ref-11)
11. An individual firm is considered a domestic Proposer for purposes of the margin of preference if it is registered in the country of the Employer, has more than 50 percent ownership by nationals of the country of the Employer, and if it does not subcontract more than 10 percent of the contract price, excluding provisional sums, to foreign contractors. JVs are considered as domestic Proposer and eligible for domestic preference only if the individual member firms are registered in the country of the Employer or have more than 50 percent ownership by nationals of the country of the Employer, and the JV shall be registered in the country of the Borrower. The JV shall not subcontract more than 10 percent of the contract price, excluding provisional sums, to foreign firms. JVs between foreign and national firms will not be eligible for domestic preference. [↑](#footnote-ref-12)
12. The proposer shall state the percentage in a common foreign currency equivalent required for payment and the exchange rates and official sources used. [↑](#footnote-ref-13)
13. The proposer shall state the percentage in a single foreign currency equivalent and the exchange rates and official sources used. [↑](#footnote-ref-14)
14. The proposer shall state the percentage in a single foreign currency equivalent and the exchange rates and official sources used. [↑](#footnote-ref-15)
15. 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. [↑](#footnote-ref-16)
16. 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. [↑](#footnote-ref-17)
17. Inspections in this context usually are investigative (i.e., forensic) in nature. They involve fact-finding activities undertaken by the Bank or persons appointed by the Bank to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to: accessing and examining a firm's or individual's financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies thereof as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third party verification of information. [↑](#footnote-ref-18)
18. 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. [↑](#footnote-ref-19)
19. 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. [↑](#footnote-ref-20)
20. Inspections in this context usually are investigative (i.e., forensic) in nature. They involve fact-finding activities undertaken by the Bank or persons appointed by the Bank to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to: accessing and examining a firm's or individual's financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies thereof as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third party verification of information. [↑](#footnote-ref-21)
21. *1 The Guarantor shall insert an amount representing the percentage of the Accepted Contract Amount specified in the Letter of Acceptance, less provisional sums, if any, and denominated either in the currency (ies) of the Contract or a freely convertible currency acceptable to the Beneficiary.* [↑](#footnote-ref-22)
22. *2 Insert the date twenty-eight days after the expected completion date as described in GC Clause 11.9. The Employer should note that in the event of an extension of this date for completion of the Contract, the Employer would need to request an extension of this guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the Employer might consider adding the following text to the form, at the end of the penultimate paragraph: “The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed [six months] [one year], in response to the Beneficiary’s written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee.”* [↑](#footnote-ref-23)
23. *1 The Guarantor shall insert an amount representing the percentage of the Accepted Contract Amount specified in the Letter of Acceptance, less provisional sums, if any, and denominated either in the currency (cies) of the Contract or a freely convertible currency acceptable to the Beneficiary.* [↑](#footnote-ref-24)
24. *2 Insert the date twenty-eight days after the expected completion date as described in GC Clause 11.9. The Employer should note that in the event of an extension of this date for completion of the Contract, the Employer would need to request an extension of this guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the Employer might consider adding the following text to the form, at the end of the penultimate paragraph: “The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed [six months] [one year], in response to the Beneficiary’s written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee.”* [↑](#footnote-ref-25)
25. 1 *The Guarantor shall insert an amount representing the amount of the advance payment and denominated either in the currency (ies) of the advance payment as specified in the Contract, or in a freely convertible currency acceptable to the Employer.* [↑](#footnote-ref-26)
26. 2 *Insert the expected expiration date of the Time for Completion. The Employer should note that in the event of an extension of the time for completion of the Contract, the Employer would need to request an extension of this guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the Employer might consider adding the following text to the form, at the end of the penultimate paragraph: “The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed [six months] [one year], in response to the Beneficiary’s written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee.”* [↑](#footnote-ref-27)
27. 1 *The Guarantor shall insert an amount representing the amount of the second half of the Retention Money or if the amount guaranteed under the Performance Guarantee when the Taking-Over Certificate is issued is less than half of the Retention Money, the difference between half of the Retention Money and the amount guaranteed under the Performance Security and denominated either in the currency(ies) of the second half of the Retention Money as specified in the Contract, or in a freely convertible currency acceptable to the Beneficiary.* [↑](#footnote-ref-28)
28. 2 *Insert the same expiry date as set forth in the Performance Security, representing the date twenty-eight days after the completion date described in GC Clause 11.9. The Employer should note that in the event of an extension of this date for completion of the Contract, the Employer would need to request an extension of this guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the Employer might consider adding the following text to the form, at the end of the penultimate paragraph: “The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed [six months] [one year], in response to the Beneficiary’s written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee.”* [↑](#footnote-ref-29)