

**Government of Uttarakhand, Finance Department
Center for Training and Research in Financial Administration, (CTRFA)**

**REQUEST FOR EXPRESSIONS OF INTEREST
(CONSULTING SERVICES – FIRMS SELECTION)**

UTTARAKHAND, INDIA

Uttarakhand Public Financial Management Strengthening Project

Assignment Title: *Consulting services for Review of Uttarakhand Procurement Rules (2017), e-procurement systems, and Development of Standard Bidding Documents based on Uttarakhand Procurement Rules (2017) which are compatible with e-procurement systems*

Reference No.:IN-CTRFA-140920-CS-QCBS**Date:** 18th October 2019

The GoUk has received a loan from IBRD for the Uttarakhand Public Financial Management Strengthening Project (UkPFMS) and intends to apply a part of the loan proceeds for this assignment toward the Consulting services for Review of Uttarakhand Procurement Rules (2017), , and Development of Standard Bidding Documents based on Uttarakhand Procurement Rules (2017) which are compatible with e-procurement systems

The objectives of the assignment are:

- a. Review of the Uttarakhand Procurement Rules 2017, and compare with other state Government procurement Act and Rules, Uttarakhand PPP Policy 2019 and 2012 and also with PPP guidelines issued by Government of India and provide inputs for betterment of Rules and review the need for an Act;
- b. Develop process and rules for special types of procurement identified in Uttarakhand Procurement Rules 2017, after due analysis of the same with respect to relevance to the State of Uttarakhand. For this the Consultant may analyze past procurements of the State and future requirements based on future vision document of the State Government, if any;
- c. Develop Standard Bidding Documents as per Uttarakhand Procurement Rules 2017 or agreed new rules/procedures suggested by the consultant and agreed by the Government of Uttarakhand which are compatible with e-procurement systems; and

- d. Prepare training materials on use of SBDs and procurement rules pertaining to procurement of the specific procurement type/method which could be used for delivery of training; and
- e. Provide training to selected officers of the GoUK on train the trainers (TOT) basis for SBDs.

The Finance Department through the Center for Training and Research in Financial Administration (CTRFA) now invites eligible consulting firms (“Consultants”) to indicate their interest in providing the Services. Interested Consultants should provide information demonstrating that they have the required qualifications and relevant experience to perform the Services. The minimum required qualifications/criteria are available in Annexure 1 and terms of reference of the assignment can be accessed on the website <http://www.uttarakhandaudit.uk.gov.in> or from CTRFA.

The attention of interested Consultants is drawn to paragraph 3.14 and 3.17 of the World Bank Procurement Regulations, July 2016 revised in November 2017 and August 2018 (“Procurement Regulations”), setting forth the World Bank’s policy on conflict of interest.

Consultant may associate with other firms to enhance their qualifications, but should indicate clearly whether association in the form of Joint Venture and/or sub-consultancy. In case of a Joint Venture, all the partners in a joint venture shall be jointly or severally liable for the entire contract, if selected

A Consultant will be selected in accordance with the **Quality Cost Based Selection (QCBS)** method set out in the Procurement Regulations.

Further information can be obtained at the address below during office hours *1000 to 1700 hours IST*.

Expression of Interest in the prescribed format along with relevant annexures must be delivered in a document form (hard copy or electronic pdf) at the address or mail id given below (in person, by post or by email) latest by **31st October 2019**

Project Director
Uttarakhand Public Financial Management Strengthening Project
Center for Training and Research in Financial Administration
Sudhowala P.O Premnagar ,
Dehradun Pin 248007, Uttarakhand
Tel:+91-135-2226790(O), 2226791(O), **Mob: +91-9358119541**
E-mail- ukpfmswb@gmail.com

Annexure 1: Minimum Required Qualifications Criteria

| S. No. | Basic Requirement | Specific Requirements | Supporting Documents Required |
|---------------|--------------------------|---|--|
| 1) | Entity | Must be a legally constituted entity | Copy of the Certificate of Incorporation and constitutional documents |
| 2) | Turnover | Should have an Average Annual Turnover of at least Rs.Two Crores and positive net worth during the last three financial years (2016-17,2017-18, and 2018-19). | Certified copy of the audited financial statements OR certificate from a Chartered Accountant in the format provided. |
| 3) | Overall experience | Should have at least 10 years' experience of working in public financial management and procurement areas of the government. | Self-certification of details of the experience |
| 4) | Technical Capability | Should demonstrate experience of development or review of Procurement acts/Rules , development of SBDs , Training on procurement for Government or PSUs or Large sized Corporate organization. Should have experience of providing training to staff Should have proven track record of having successfully carried out minimum two (2) assignments of similar nature involving development or review of Procurement Acts/Rules, development of SBDs, Training on procurement for Government or PSUs or Large sized Corporate organization. Preference shall be given for the assignments executed in the Government Sector especially for development of SBDs. | Work completion certificates from client (OR) In case of ongoing consultancy, the completion should be substantial (at least 75% of the technical deliverables has been submitted to client satisfaction). Letter from client along with work order to be submitted. |
| 5) | Staff | Should have at least 10 staff\consultants with relevant qualifications and at least 5 years' experience in any of the above areas. | Self-certification of list of such staff with qualification and experience as per format provided. |

Instructions

1. Please provide the minimum details as required in the format. Non-completion of the format may lead to rejection during evaluation.
2. The consultant can add other materials about the Organization and other relevant details as annexures.
3. Please provide all documents requested as annexures.

General Particulars of Consultant

| | |
|--|--|
| Name of the Consultant | |
| Registered Address | |
| Phone No: | |
| Email id: | |
| Name of the Contact Person for this EoI | |
| Phone no. of the Contact Person for this EoI | |
| Email id of the Contact person for this EoI | |

Particulars of Consultant

| | |
|--|--|
| Date of Consultant's establishment | |
| Consultants Years of experience | |
| Registration No. (Company/Society) | |
| PAN No. | |
| GST No. | |
| Number of full time staff | |
| Do you have a branch office in the State | Yes/No. If yes, please provide the address |

If you have a JV please fill the above table for each JV partner separately.

Financial Particulars of the Consultant

| Financial year | Turnover | Net worth |
|----------------|----------|-----------|
| 2018-19 | | |
| 2017-18 | | |
| 2016-17 | | |

Staff Brief Profile ***

| Name of Staff | Age | Years of experience | Qualification | Number of years associated with the Consultant | Name of clients handled with nature of work done |
|---------------|-----|---------------------|---------------|--|--|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

*** Please provide detail CVs separately as per format given below

Relevant assignments – Last ten years***

| Project Name | Funding agency Name | Client Name | Nature of work | Year of Work | Status (Completed/Ongoing) | Fees |
|--------------|---|-------------|----------------|--------------|----------------------------|------|
| | Central/State/Multilateral/Bilateral funding agency | | | | | |
| | | | | | | |

*** Please provide detail citation of work separately in the format given below

Detailed Format for Citations

| | |
|--|---|
| Assignment name: | Approx. value of the contract (in current US\$ or Euro): |
| Country: Location within country: | Duration of assignment (months): |
| Name of Client: | Total N° of staff-months of the assignment: |
| Address: | Approx. value of the services provided by your Consultant under the contract (in current US\$ or Euro): |
| Start date (month/year): Completion date (month/year): | N° of professional staff-months provided by associated Consultants: |
| Name of associated Consultants, if any: | Name of senior professional staff of your Consultant involved and functions performed (indicate most significant profiles such as Project Director/Coordinator, Team Leader): |
| Narrative description of Project: | |
| Description of actual services provided by your staff within the assignment: | |

Terms of Reference:

Consulting services for Review of Uttarakhand Procurement Rules (2017), e-procurement systems, and Development of Standard Bidding Documents based on Uttarakhand Procurement Rules (2017) which are compatible with e-procurement systems

Background

2. The Government of Uttarakhand (GoUK) was one of the pioneer states in India which formulated Procurement Rules in 2008. These rules were later amended in 2015 to accommodate changing business environment. The GoUK promulgated New Procurement Rules in 2017 to introduce new business concepts. Currently there are no Standard Bidding Documents (SBD). As a result, agencies use inconsistent criteria and documents, leading to the rejection of bids and loss in competitiveness.
3. GoUK uses e-procurement system for goods, works and services for all procurement estimated to cost INR 0.25 million for goods and INR 2.5 million for works. This portal is now handed over to the state by the National Informatics Center and future development and maintenance is a policy decision to be made by the government. The e-procurement portal provides a platform for procurement process up to contract award stage only. The portal is not linked to IFMIS. Contract awards are not disclosed to the public in manual procurement and in e-procurement where AOC (award of contract) has not been done in the system. There is no system to track contract performance, variations, and completion. There is no protocol for grievance redressal. Training is provided as and when required rather than on a regular basis. GoUK has acknowledged that it needs to improve disclosure requirements, build its institutional and technical capacities in procurement.
4. GoUK has received a loan from IBRD for the Uttarakhand Public Financial Management Strengthening Project (UkPFMS) and intends to apply a part of the loan proceeds for this assignment.

Objective of the assignment

5. The objectives of the assignment are:
 - a. Review of the Uttarakhand Procurement Rules 2017, and compare with other state Government procurement Act and Rules, Uttarakhand PPP Policy 2019 and 2012

- and also with PPP guidelines issued by Government of India and provide inputs for betterment of Rules and review the need for an Act;
- b. Develop process and rules for special types of procurement identified in Uttarakhand Procurement Rules 2017, after due analysis of the same with respect to relevance to the State of Uttarakhand. For this the Consultant may analyze past procurements of the State and future requirements based on future vision document of the State Government, if any;
 - c. Develop Standard Bidding Documents as per Uttarakhand Procurement Rules 2017 or agreed new rules/procedures suggested by the consultant and agreed by the Government of Uttarakhand which are compatible with e-procurement systems; and
 - d. Prepare training materials on use of SBDs and procurement rules pertaining to procurement of the specific procurement type/method which could be used for delivery of training; and
 - e. Provide training to selected officers of the GoUK on train the trainers (TOT) basis for SBDs.

Detailed scope of work

6. The scope of work includes but not limited to:

- a. **Review of the Uttarakhand Procurement Rules 2017:** The consultant will review the rules and compare with the Acts and Rules of Karnataka, Rajasthan, Tamil Nadu and Assam. The consultant will also compare the rules with the World Bank Procurement Regulations. The consultant is required to study the changes made in GFR 2017 for the modifications in the Procurement Rule (including for GeM). The consultant will provide a report after review on the areas of improvement which the state can take forward as deemed appropriate. The consultant will suggest good practices which may help in improvising the public procurement system in the State. The consultant should suggest if the state needs to prepare and pass an Act or amending the Rules with improvements is sufficient to meet the requirements of the state. The consultants are expected to review the Procurement Rules and compare with the Uttarakhand PPP Policy 2019 and 2012 PPP guidelines issued by Government of India and provide inputs for better alignment of the Procurement

Rules and PPP Policy and any issues needs to be sorted out. The consultants should provide “e-Procurement Provisions” as a separate Annexure which could be used by the state as required.

- b. ***Develop process and rules for special types of procurement identified in Uttarakhand Procurement Rules 2017:*** The Uttarakhand Procurement Rules have prescribed new method of procurement namely; Swiss Challenge, E-Reverse Auction, Framework Agreement etc. The consultant will support in developing processes, guidelines for these methods of procurement. The consultant will also conduct consultative workshops of select officials for these new procurement methods.
- c. ***Develop Standard Bidding Documents as per Uttarakhand Procurement Rules 2017 which are compatible with e-procurement systems:*** The consultant will first develop three basic SBDs along with guidance notes (for Open National competition - NCB, for Procurement of Goods, Works and RFP for QCBS – Consultancy Services selection). After the three basic set of SBDs are approved, the consultant will develop SBDs along with guidelines and notes etc. for other variants like
- i.* SBD for Supply & Installation;
 - ii.* SBD of Goods (NCB with e-procurement, ICB with e-procurement);
 - iii.* SBD for Consultancy Services (other methods – LCS, FBS, SSS, QCBS with e-procurement);
 - iv.* SBD for PPP (NCB, ICB with e-procurement);
 - v.* SBD for Works; (NCB with e-procurement, ICB with e-procurement)
 - vi.* SBD for Non-consultancy Services (NCB, ICB with e-procurement; and
 - vii.* SBD for IT Equipment (NCB, ICB with e-procurement.)
 - viii.* SBD for procurement text books(NCB, ICB with e-procurement
 - ix.* SBD for procurement of Health system goods and equipment(NCB, ICB with e-procurement)
 - x.* SBD for EPC contracts (NCB, ICB with e-procurement)

The consultant will conduct consultative workshops of select officials for each of the SBD. The consultant will identify other set of documents / standard bidding documents (SBDs) that need to be developed in addition to the above identified specific SBDs and develop them. As part of the SBD the consultant should ensure that these SBD should be amenable for using them in the e-procurement portal. Once the SBD is finalized the consultant should hold dissemination workshops in coordination with the state. While developing the SBDs the consultant should also refer to the requirements of GEM and whether it has any impact on the SBDs.

As part of the SBD preparation, the consultant will develop the pre-qualification criteria, processes, guidelines and document(s) for procurements where pre-qualification process is involved. Rule 6 & 24 prescribe provisions for bidder registration, and empanelment. The consultant will support in designing and preparation of necessary documents for the bidder's registration and empanelment. The consultant will formulate detailed procedures and preparation of necessary guidelines for bidder's registration empanelment process. The consultant will conduct consultation workshop of select officials' multiple times to have larger coverage as required.

- d. **Prepare training materials on procurement:** The consultant is required to prepare training materials on procurement covering the Rules, SBDs, and other aspects of procurement which could be used by GoUK for delivering training in future.
- e. **Provide training on TOT basis:** The consultant is required to provide training to identified staff up to a maximum of 100 persons on the SBDs developed.
- f. **Dissemination workshop:** The consultant is required to carry out a dissemination workshop for the key stakeholders so that the draft output of the assignment is widely circulated and discussed.

List of key positions, whose CV and experience would be evaluated

- 7. The consulting firm expressing interest in the assignment should demonstrate that they have successfully carried out similar work at the sub-national level in India and have sufficient qualified key staff to undertake the proposed assignment, particularly in developing SBDs for government and conducting training. The key staff will be supported by adequate number of qualified staffs. Translators would be hired by the consultant as part of the team to

support in translating the manuals and training materials. Ability to speak and read Hindi would be essential. The expected man months for the key staff are around 35-man months. The consultant should propose support staff for the assignment along with CVs as required. Support staff CVs would not be evaluated individually. Support staff man months is expected to be at least 27 months.

| TEAM COMPOSITION: KEY EXPERTS | | | |
|-------------------------------|---|----------|----------------------------|
| SN | Expert(s) | Nos. | Total Required Man-Months* |
| 1 | Team Leader & Procurement Expert (Consultancy & Non-Consultancy Services) | 1 | 7 |
| 2 | Procurement Expert – Works | 1 | 7 |
| 3 | Procurement Expert – Goods, and Equipment's | 1 | 7 |
| 4 | Procurement Expert – IT procurement | 1 | 7 |
| 5 | Public Private Partnership Expert | 1 | 4 |
| 6 | Legal cum Secretarial Expert | 1 | 3 |
| | TOTAL | 6 | 35 |

| Expert | Qualifications/Experience |
|--|---|
| Team-Leader & Procurement Expert for Consulting and Non-consulting services – One Position | <ul style="list-style-type: none"> • Graduate / post graduate in any discipline. • At least 15 years of working experience in the public procurement domain at sub-national / national /international level. • Must demonstrate working experience of planning and executing full cycle procurement process including preparation of bidding documents, evaluation, and contracting etc. • Must have in depth knowledge of Procurement Acts and Rules followed in India |

| Expert | Qualifications/Experience |
|---|---|
| | <ul style="list-style-type: none"> • Must have prepared SBDs or carried out similar assignment • Must be conversant with new and innovative procurement practices /systems including the ones existing in India at sub-national level. • Must have in-depth knowledge of e-procurement systems and its function • Must have knowledge and exposure on international procurement practices including incoterms, and others. • Must have in-depth knowledge and understanding of public procurement principles and procedures, underlying good procurement practices and ability in identifying and resolving procurement issues. • Must have good knowledge of consulting and non-consulting services • Must have experience of providing training to staff • Additional relevant qualification(s) / experience/ assignments would be of advantage and would be given added weightage. |
| Procurement Expert (Works Procurement) – One position | <ul style="list-style-type: none"> • B.E. (Civil/Electrical/Mechanical) • At least 15 years of working experience in the public procurement domain at sub-national / national /international level. • At least 10 years working experience in handling and executing works procurement as a part of government (public) procurement management. • Must demonstrate working experience of planning and executing full cycle procurement process including preparation of bidding documents, evaluation, and contracting etc. • Must be conversant with works procurement practices /systems existing in India specifically at sub-national level. including PwD |

| Expert | Qualifications/Experience |
|---|---|
| | <p>Codes, Building codes, BOQ, M-Book preparation and DSR rates.</p> <ul style="list-style-type: none"> • Must have prepared SBDs or carried out similar assignment • Must have in-depth knowledge and understanding of public procurement principles and procedures, underlying good procurement practices and ability in identifying and resolving procurement issues. • Additional relevant qualification(s) / experience / assignments would be of advantage and would be given added weightage. |
| <p>Procurement Expert (Goods Procurement, and equipment Procurement) – One Position</p> | <ul style="list-style-type: none"> • Graduate in any discipline. • At least 10 years of working experience in the public procurement domain at sub-national / national /international level. • At least 07 years working experience in handling and executing goods and equipment procurement as a part of government (public) procurement management. • Must demonstrate working experience of planning and executing full cycle procurement process including preparation of bidding documents, evaluation, and contracting etc. • Must have prepared SBDs or carried out similar assignment • Must be conversant with Goods/Medical equipment/ Books procurement practices & systems existing in India at sub-national level. • Must have knowledge of e-procurement of Goods/IT equipment either through GEM or other procurement software • Must have in-depth knowledge and understanding of public procurement principles and procedures, underlying good procurement practices and ability in identifying and resolving procurement issues. |

| Expert | Qualifications/Experience |
|-----------------------------|---|
| | <ul style="list-style-type: none"> • Additional relevant qualification(s) / experience / assignments would be of advantage and would be given added weightage. |
| PPP Expert – One Position | <ul style="list-style-type: none"> • Post graduate in Management (or equivalent) in any discipline. • At least 10 years of working experience in the public procurement domain at sub-national / national /international level. • At least 07 years working experience in handling and executing public-private-partnership (PPP) procurement and contract management as a part of government (public) procurement management. • Must demonstrate working experience of planning and executing full cycle PPP procurement process including preparation of bidding documents, evaluation, and contracting etc. • Must be having in-depth knowledge and understanding of public procurement principles and procedures. • Must be having sound understanding of principles underlying good procurement practices and understanding of procurement rules and procedure and governing laws, ability in identifying and resolving procurement issues. • Must have prepared SBDs or carried out similar assignment • Should have experience in Financial Closure or have experience in project financing • Additional relevant qualification(s) / experience / assignments would be of advantage and would be given added weightage. |
| Legal Expert – One Position | <ul style="list-style-type: none"> • Law Graduate / Post Graduate with degree of Company Secretary. • Must have at least 07 years of overall working experience in legal matters. |

| Expert | Qualifications/Experience |
|---|---|
| | <ul style="list-style-type: none"> • At least five (05) years working experience in matters related with public procurement, contract management, procurement legislation, contract law, arbitrations, and other relevant areas. • Additional relevant qualification(s) / experience/ assignments would be of advantage and would be given added weightage. |
| Procurement Expert (IT equipment Procurement) – One Position | <ul style="list-style-type: none"> • Graduate in any discipline. • At least 10 years of working experience in the public procurement domain at sub-national / national /international level. • Must demonstrate working experience of planning and executing full cycle procurement process including preparation of bidding documents, evaluation, and contracting etc. • Must have prepared SBDs or carried out similar assignment • Must be conversant with IT equipment procurement practices and systems existing in India at sub-national level. • Must have knowledge of e-procurement of Goods/IT equipment either through GEM or other procurement software • Must have in-depth knowledge and understanding of public procurement principles and procedures, underlying good procurement practices and ability in identifying and resolving procurement issues. • Additional relevant qualification(s) / experience / assignments would be of advantage and would be given added weightage. |

Deliverables

8. The Consultant will prepare and submit the following reports/manuals to the Client as per the following schedule. The consultant would provide 3 hard copies of the report and one soft copy of the report to the client.

| Sl. No. | Deliverable | Timeline from the effective date of the contract |
|----------------|--|---|
| 1. | Inception Report (just the work plan and team mobilisation plan) | Within two weeks |
| 2. | Report on Procurement Rules | Within two months |
| 4. | Draft SBDs – Works, Goods, IT equipment, Consulting | Within five months |
| 5. | Draft SBDs- Non-consulting and PPP | Within six months |
| 6. | Develop process and rules for special types of procurement | Within six months |
| 7. | Dissemination Workshop | Within Seven months |
| 8. | Training materials | Within Seven months |
| 9. | Provide training | Within eight months |
| 10. | Final SBDs | Within nine months |

Technical review committee (TRC)

9. A Technical review committee headed by the Additional Secretary Finance and comprising of representatives of the Works Department, Medical Department , Education Department Director , Treasuries pension and entitlements ,Director Center for Training research in Financial administration and officers from Project Management Unit will carry out the review of all the draft/final reports /SBDs and provide comments which will be shared with the consultant for incorporation in the final manuals appropriately, along with any comments/suggestions from the World Bank. The Task Team will endeavor to review and provide the comments at the earliest, but not later than 3 weeks of submission of the reports and will inform the consultant in case of any delays.

Services & Support to be provided by Client

10. The assignment will be administratively coordinated by the Project Director for the Uttarakhand PFM project.

11. Technical coordination will be done by the Additional Secretary Finance and FCs of the concerned departments.

12. The Director Center for Training Research in Financial Administration will coordinate with departments for the workshops/training and to designate staff for training and facilitate meetings with the stakeholders. For training, GoUK will provide the venue and cost of trainee travel including TA/DA, but all other requirements will be arranged by the Consultant.
13. Working space: An office needs to be established by the consultant in the state. Only space for meeting would be provided by the departments..
13. We expect the Key experts to be stationed in Dehradun for at least 90% of the man months shown in the table. Work from home base is not encouraged