African Development Bank

Procurement Planning

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This Guidance Note (GN) is proposed with the objective to assist the Bank’s borrowers and grant recipients in adequately preparing procurement plans for projects financed in whole or in part by the Bank, or through funds administered by the Bank. This GN reflects the risk-based approach as provided in the Bank’s Procurement Policy in order to ensure that the resulting procurement arrangements are fit for purpose to achieving value for money. Effective procurement planning is key in order to mitigate risk, ensure fairness and transparency, and reduce processing time. This GN contains the necessary templates of procurement plans for use by Borrowers.

Users of this GN are advised to make themselves conversant with the OPM Part A Volume 1 Sections C3 and C4 as well as with the OPM Part A Volume 3 Annex C2 which deal with the subject. This GN constitutes part of the Procurement Toolkit in the Bank’s Procurement Framework.
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1. Introduction

1.1. The Bank’s Borrowers, as owners of Bank-financed projects are responsible for ensuring that projects are managed and implemented efficiently to achieve Value for Money (VfM) and attain their development objectives. The Bank is mandated by the Agreement establishing it, to ensure that the proceeds of any loan granted by it are used only for the purposes for which the financing was granted, with due attention to considerations of economy and efficiency and without regard to political or other non-economic influences or considerations. In order to achieve both these objectives, the Bank requires its Borrowers, among other things, to follow good procurement planning practices as highlighted in the “Procurement Policy for Bank-Group Funded Operations, October 2015” Section 11.1 (Box 1).


Box 1: Procurement Policy Clause 11.1

Procurement Plan. The preparation of a realistic procurement plan (PP) for a project is critical for its successful monitoring and implementation. The PP should be elaborated in coordination with the overall project implementation plan and manual during the early stages of project preparation, and be linked to the Borrower’s overall procurement strategy. It accounts for the internal Borrower and Bank project review processes, in particular in regard to capacity and risk assessments, and refers to project implementation arrangements (appropriate organizational structure and responsibilities, procurement schedule and related disbursement plan, review thresholds, nature and extent of Bank supervision and audits, and more generally Monitoring and Evaluation (M&E) and reporting).


Box 2: Procurement Policy Clause 11.1 Continued

Accordingly, as part of the preparation of the project, the Bank requires that the Borrower prepare and, furnish to the Bank for the Bank’s approval, a detailed PP, for the entire scope of the project. The Borrower shall implement the approved PP and any updates and modifications subsequently approved by the Bank. After financing negotiations, the Bank shall arrange the publication on its external website of the approved initial PP and all subsequent updates. The Bank may also agree to a simplified PP for small Grants and Trust Funds depending on their scope, complexity and size.


1.2. The Policy further mandates Borrowers to prepare a PP and submit it to the Bank for approval before the negotiations and to follow it closely during project implementation while making revisions to it to continue to ensure that all procurement arrangements remain Fit for Purpose (FfP) and consequently the Borrower achieves VfM.(Box 2).


Box 2: Procurement Policy Clause 11.1 Continued

Accordingly, as part of the preparation of the project, the Bank requires that the Borrower prepare and, furnish to the Bank for the Bank’s approval, a detailed PP, for the entire scope of the project. The Borrower shall implement the approved PP and any updates and modifications subsequently approved by the Bank. After financing negotiations, the Bank shall arrange the publication on its external website of the approved initial PP and all subsequent updates. The Bank may also agree to a simplified PP for small Grants and Trust Funds depending on their scope, complexity and size.


1.3. Therefore sound Procurement planning comprises the execution of the following activities:

➢ Identifying and assessing needs;
➢ Undertaking a detailed sector level market analysis to obtain an accurate picture of the nature of national and international contractors, suppliers, service providers and consultants for the envisaged project components and activities;
➢ Determining the expenditure categories for goods, works and services, deciding on the criteria for efficient contract packaging and establishing the contract packages and lots;
Disaggregating and computing cost estimates for each category of procurement to the packages and lots level, including making allowances for physical contingencies and price escalation;

Determining a procurement strategy for the project based on the Borrower’s requirements;

Determining the most optimal procurement methods and procedures that would result in FfP procurement to achieve optimum VfM;

Defining the most appropriate oversight mechanisms for the procurement transactions; and

Synthetize the procurement arrangements in a PP.

1.4. This GN focuses on the nuts and bolts of good procurement planning practice. It is intended to assist users with the structured process of procurement planning for projects financed in whole or in part by a Bank loan or grant, or by Bank administered funds, which are governed by the Procurement Policy for Bank Group Funded Operations approved in October 2015 and as amended from time to time.

1.5. This document complements the Methodology for implementation of the Procurement Policy of the African Development Bank, Section 3, OPM Part A, Volume 1 Preface, the OPM Part A Volume 1, Chapter C Section C3 and C4, as well as the OPM Part A Volume 3 Annex C2, to which the reader is referred.

1.6. The preparation of the Procurement Plan is a collaborative activity under the responsibility of the Borrower. In the event the Borrower has not identified a procurement person for the project, the Procurement Specialist (PS) of the Bank may exceptionally assist in preparing the procurement plan.

2. Planning and the Project Cycle

2.1. In order for the procurement planning to be effective, the plan should be progressively developed through the various stages of the project cycle. It should not be a one-step exercise conducted at appraisal. It is therefore developed as follows:

- **Identification stage:** The identification and assessment of needs takes place;
- **Preparation stage:** This is essentially the project’s technical design stage where, among other things, the sector level market analysis is conducted, the various diagnostic assessments (country, sector, project and EA levels) are updated or prepared, cost estimates are established for components and sub-components and packaging is initially undertaken leading to selection of tentative procurement methods, procedures, and oversight mechanisms for specific transactions or groups of similar transactions under the project;
- **Appraisal, negotiation and Board Approval stage:** A comprehensive evaluation of the technical, economic, financial and environmental viability of the project takes place, the procurement methods and procedures are firmed up, oversight modalities are instituted, and the PP is finalized, agreed upon and incorporated into the PAR and Financing Agreement (FA). These are subsequently approved by the Board;
- **Project or programme implementation stage:** Among other things, the PP is used to manage the project or programme execution. It is periodically reviewed and revised to ensure PMPs remain FfP given any changed project circumstances; and
- **Project completion stage:** Finally, the PP is utilized to determine the performance of the project execution and assess achievement of Project Development Objectives.
2.2. The planning process is a dynamic one which enables VfM to be achieved under the project by periodically revisiting the PP during project implementation, to ensure that its elements remain FfP, in case of any changes in project or programme circumstances or when a substantial amount of time elapses during project implementation.

3. Review of the goals and objectives of the project

3.1. An adequate Procurement Plan is the result of a systematic risk-based approach including an assessment of the operating environment, an analysis of the market, the identification & handling of risks, and the definition of the procurement strategy with the purpose to ensure that procurement procedures, methods, and modalities are fit-for-purpose in order to obtain optimal value for money.

3.2. In that regard, the PP development process requires having a good understanding of the goals and objectives of the project. This information is ordinarily available from the project concept note and other documents submitted by the borrower.

3.3. This review process in the preparation of the PP shall include a full implication of the country project team and the Task Manager in order to get their views and perspective on the sector and any specific procurement-related constraint that may have an impact on the objectives of the project.

4. Assessment of the operating environment

4.1. The preparation of a PP requires an assessment of the capacity and resources of the implementing entity with the view to identify factors that may affect the procurement strategy being developed. The purpose is to devise mitigation measures in case capacity gaps are identified, these measures may include training, technical assistance, etc. in order to ensure effective execution of the project.

4.2. The assessment should also include the internal stakeholders who will be involved in the project in general and in the procurement process in particular. These include the procurement oversight body, the complaints handling mechanisms, the public audit institution, etc. The objective is to ensure that they are involved at the outset with an adequate understanding of what is expected from them, and in order to get their full participation in the implementation of the project.

4.3. Depending on the nature of the project, this step should equally take into account the external stakeholders of the borrower including civil society organizations, bidders, local communities affected by the operation, etc.

4.4. A Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis may be conducted to have a clear picture of the operating environment. The outcome will contribute to developing the project procurement strategy.
5. Market analysis

5.1. A market analysis is conducted with the purpose to have an adequate understanding on how the relevant market sector is structured and how it operates in order to appropriately tailor the envisaged contracts’ packages in light of the conditions of the target markets.

5.2. The analysis aims also to determine the market’s capability to meet the project’s needs and development objectives while assessing the nature and level of competition within the target sector. The process will focus on the conditions, size and depth of the target markets, as well as the level of procurement risk, in order to establish indicative sector-specific monetary values, and discriminating between works, goods, and non-consulting services, and consulting services.

5.3. The process is primarily conducted by Bank procurement staff with the assistance as may be needed of Bank country economists and sector staff for technical advice and information. The analysis involves mostly deskwork, reviewing existing readily available information held within the Bank or by development partners, as well as relevant information from the Borrower including the Country private sector and civil society representatives, including inter alia Chambers of Commerce and other representative professional associations, trade organizations, business support organizations and federations of the concerned sector.

5.4. The outcomes of the sector market analysis are used to identify the specific procurement sub-components, activities, specific transactions or groups of similar transactions, and contracts that will constitute the project; regrouping these into broad indicative categories that would be susceptible to follow similar PMPs and finally preparing indicative procurement packages for the project.

6. Risk-Based Approach as the basis for Procurement Planning

6.1. The Bank’s Procurement Policy Framework establishes a risk-based approach as a basis for reaching its ultimate objective of achieving VfM for Borrowers. The risk management is the process of identifying and minimizing the likelihood and impact of risks occurring within a project.

6.2. The Procurement Capacity and Risk Assessment and Management (PROCGRAM) is the main tool that is used to determine the Project Procurement Risk Rating (PPRR). The procurement risks, at country level, are derived from the BPAR, while the risks at the sector level are essentially identified through the market analysis. Moreover, an assessment of the capacity and performance of the Executing Agency shall be conducted to identify the risks associated with the project executing agency level that may create potential implementation issues.

6.3. The updating of country and sector assessments, execution of EA capacity, compliance, management and performance assessments provides the data for calculating the Project Procurement Risks.
6.4. The various identified risks are then measured in terms of their likelihood of occurring and the magnitude of their impact on the project’s objectives. This risk measurement exercise will conclude with the determination of the Project Procurement Risk Rating.

6.5. The overall risk classification emanating from this analysis helps to identify project-level risk mitigation measures, define risk tracking indicators and their baseline, and ultimately guides the procurement planning process by establishing most appropriate procurement arrangements for the project and subsequently the project-specific PP, in particular the identification of appropriate PMPs and level of reliance on the BPS.

7. Procurement arrangements

7.1. The quality of the PP depends on the data available on the procurement environment. In this regard, the preparation of the PP involves examining the procurement provisions in any existing design studies, scrutinizing any available preliminary cost estimates, and also taking into account the characteristics and priority of the proposed project components, assessing their innovative content as well as the degree of complexity of potential procurement transactions.

7.2. Packaging is an essential activity in procurement planning. Optimum procurement packaging for projects and programmes aims at preparing and ensuring that the PP is FfP by determining:

➢ whether single contracts, lots of similar contracts, multiple contracts, or ‘slice and package’ should be used for each category of procurement;
➢ the specific procurement regime or system to be used, whether BPS, Bank PMPs, and/or Third Party PMPs, or a combination thereof; and
➢ whether Open Competitive Bidding (OCB), Limited Competitive Bidding (LCB) or other Procurement Methods (PMs) shall be used, and what should be the related Procurement Procedures (PPrs) and bid evaluation procedures and criteria – which may become quite complex as for example when the number of bids and or lots increases.

7.3. The process integrates considerations of the options for procurement regime or systems with BPS as the default. Here, the PS shall consider indicative PMPs by balancing the factors of value and risk against BPS, Bank or Third Party PMPs, for each transaction or group of similar transactions, as illustrated in the paragraphs following hereunder.

7.4. For small value transactions which constitute insignificant risk to both Borrower and the Bank such as office and administrative expenses, workshops, etc., simple PMPs such as Requests for Quotations (RFQs) or Shopping with simple Solicitation Documents (SDs) with no advertising, are considered. Such processes would normally fall under BPS if found acceptable.

7.5. For high value transactions which constitutes low risk (e.g. routine civil works, etc.), BPS, BPMP, or Third Party procedures shall be considered.

7.6. For relatively low value contracts with a high risk (e.g. highly specialized equipment, consultancy mission for a highly specialized assignment, supervision of complex works, etc.), Bank’s and Third Party PMP shall be considered.
7.7. On the other hand for large value contracts which present high risk for both the Borrower and the Bank (e.g. complex civil works / infrastructure including dams, power plants, hydropower facilities, healthcare facilities, etc.), OCB methods and procedures are considered and Bank or Third Party PMPs shall be used.

7.8. For high complexity and large value procurement processes, the overall risks are high, and the procurement process is complex, and therefore, Bank PMPs shall be used.

7.9. The matrix below provides an indicative procurement methods options.

7.10. Moreover, the Bank’s Procurement Policy Provisions on Eligibility, Conflict of Interest, Unfair competitive Advantage Associations; and the Borrower’s specific socio-economic objectives and related procurement provisions should be considered. The objective is to ensure that specific in-depth examination of the Borrower’s socio-economic and sustainable aspirations, are carried out, including use of margins of preference, assistance to SMEs, employment generation, gender empowerment, and empowerment of disadvantaged groups. Incorporation of any of these into the project would depend on specific established and objective evaluation criteria to be integrated into the BD. Agreement on these is reflected in the tentative PP.

7.11. In addition, the preparation includes developing tentative procurement methods and procedures, and evaluation procedures and criteria. Essentially, the FfP approach to achieve VfM should be applied for each specific transaction or for groups of similar
transactions, by examining, evaluating and balancing trade-offs of the 4 Es (Economy, Efficiency, Effectiveness and Equity) to address different priorities and thereby to obtain optimal procurement solutions that account for the needs of Borrowers, beneficiaries, and any specific third parties.

7.12. The complexities of the PP decision making process are illustrated in Box 3.

7.13. The Borrower and the Bank shall agree on the following:

➢ The PMPs, Bid Evaluation Procedures and Criteria, and finalization of Procurement Plan and Contract Packages;
➢ Determination of types of Solicitation Documents and Forms of Contracts;
➢ Bank Advance Contracting and Retroactive Financing Provisions;
➢ Anti-Corruption Provisions; and
➢ The Procurement Arrangements for Project Implementation; and
➢ Bank Oversight Modalities.

8. Procurement processing standards timelines

8.1. An essential part of efficient procurement planning is establishing acceptable and practical timelines for executing the various procurement process activities. It is important for these timelines to be based on experience taking into consideration the requirements of the Bank’s Procurement Policy Framework and good public procurement principles in general. Given the different nature and complexities of the various categories of expenditure comprising (i) goods and works including non-consulting services, on the one hand; and (ii) intellectually based consulting services on the other, different timelines are normally established for each of these. The former can be further disaggregated separately into goods, works and non-consulting services.

8.2. The Bank has duly established Standard Procurement Processing Timelines for goods, works, non-consulting and consulting services, in accordance with the requirements of the 2015 Bank Group Procurement Policy Framework, using the Bank’s PMPs, and these are given in Annex B.
9. The procurement plan

9.1 Overview

9.1.1. The procurement plan is a tool that synthetizes the retained procurement arrangements. Except for policy and result based lending, a PP shall be agreed for all investment projects, and for all procurement systems (BPS, Bank’s PMP, Third party). A flowchart detailing the process of procurement planning is proposed in Annex A.

The deliverables prepared and agreed with the Borrower and its EA at the end of project appraisal in respect of procurement planning include:

- The finalized detailed PP incorporating all agreed procurement components, sub-components, different categories of expenditure, packages, lots, transactions and groups of similar transactions
- Specific procurement regimes or systems for each package, lot, transaction or groups of similar transactions, with accompanying PMPs, Bid Evaluation Procedures and Criteria;
- Final project design, scope of works, specifications and or TOR;
- Finalized detailed cost estimates for each component, package, lot, transaction or groups of similar transactions;
- Timetable for all procurement processes;
- Determination of types of Solicitation Documents including associated Forms of Contracts;
- Management and standard operating procedures for pre-bidding, bidding and post bidding stages for all categories of expenditure;
- Draft GPN and SPNs for all specific packages, lots, transactions and groups of similar transactions; and
- Procurement arrangements for project components, packages, transactions or groups of similar transactions subject to parallel and joint co-financing including Third Party PMPs.

9.1.2. Normally the output of the procurement planning process is the detailed PP which is incorporated into the procurement paragraphs in the PAR and the FA.

To proactively facilitate implementation of the Bank’s fiduciary and development mandate particularly by assisting the Borrower with its project administration, the Bank has developed three different Templates of the PP to be used in the preparation, evaluation and implementation of projects and programmes.

9.1.3. This action has been dictated by the fact which has been stated earlier, that, it is a fiduciary requirement of the Bank for a detailed PP covering the whole scope of the project, however tentative, to be prepared by the Borrower and be submitted to the Bank for its approval (Box 2), and therefore, these Templates provide guidance to Borrowers and at the same time ensure standardization and harmonization in procurement planning across Bank Group financed projects and programmes. Procurement processing details shall be given in the Borrower’s PP for an initial period of 18 months.

9.1.4. The three versions of the PP comprise:

- **Detailed Version (PP Detailed Template)**: The Detailed PP includes:
  - A description of the goods, works and services to be procured;
  - Estimated cost of the activity or package ;
  - Procurement regimes or systems (BPS, Bank or Third Party PMPs);
✓ Proposed methods of procurement or selection;
✓ Domestic or regional preference, where applicable;
✓ Bank’s oversight (review) modalities (prior or post review);
✓ Detailed timelines for processing of procurement activities; and
✓ Any other information that the Bank may reasonably require.

The Detailed PP is the version considered during the negotiations, to be updated during implementation, and for supervision and monitoring of project implementation;

➢ **Simplified Version (PP Web Template):** This Template is essentially for Bank’s PMPs and follows the same format as the Detailed version but includes only the key timelines of the processing. This version is used for publication purpose on the Bank’s Website; and

➢ **Summary Version (PP FA Template):** This Template, to be inserted into the Financing Agreement (FA), includes broad or less detailed description of the goods, works, and services, the related cost estimates, the procurement regimes and PMPs, and the oversight mechanisms. The timelines are not typically included.

9.1.5. There must be consistency between the PP and the project procurement strategy, the Project Implementation Manual (PIM) and any available and applicable project implementation document. The Detailed PP being the base version, there must always be total consistency with the Simplified PP Version and the PP FA Version.

9.1.6. According to the Bank’s Procurement Framework, the Borrower shall update the PP, annually or as needed, throughout the duration of project’s execution, to reflect: (i) the actual project implementation needs; (ii) any improvements or otherwise in institutional capacity; and (iii) up to date cost estimates (Box 2).

9.2 **PP Detailed Template**

9.2.1. The Borrower’s detailed PP shall normally be prepared by the EA, commencing during project preparation and be finalized at the time of project appraisal or latest by the time of Loan or Grant negotiation. It shall cover the entire scope of the project, and include filing and recording requirements, assigning responsibilities for all stages of the procurement process for each transaction.

9.2.2. The Bank distinguishes between the details and differences in procurement processing for Goods and Works including Non-consulting Services on the one hand, and Consulting Services, by providing a separate detailed template for each. These are used by both Borrowers and the Bank primarily to undertake more in-depth project or programme administration, implementation, monitoring and oversight. The PP Detailed Template summarizes the different procurement stages for each package, transaction or groups of similar transactions, disaggregating into lots, where these are applicable, for each procurement processing stage. It provides information concerning the processing of each contract during the initial procurement planning period; it records any revisions made during project execution and it documents the actual execution to project or programme completion. This information essentially enables the timelines in the procurement process to be fully followed.

9.2.3. The first 18 months of the plan should be based on detailed project design and costing estimates and therefore should be accurate to plus or minus 10% of the project costs. On
the other hand, the remaining project period may be based on broader estimates where such details may not be available.

9.2.4. The PP Detailed Template allows differences between planning, any revisions, and the reality of project execution, to be captured for future purposes. It is important that, in the PP, the timelines established at appraisal and agreed during project negotiation should be maintained on the “Plan” axis and should not be changed or revised, anytime throughout the project implementation period. Any revisions should be captured on the “Revisions” axis. Such revisions may be further revised during the course of the project.

9.2.5. The PP must periodically be revised (annually) by the Borrower following the actual timelines of project execution, and these revisions should be further fine-tuned and agreed during the project supervision missions of the Bank.

9.2.6. This detailed plan is not published on the website of the Bank.

9.2.7. The Template for the PP Detailed Version for Goods and Works including Non-consulting Services is given in Annex C1 while that for Consulting Services is provided in Annex C2.

9.3 PP Simplified Template

9.3.1. The PP Simplified Version shall summarize the main information required by Procurement Policy Clause 11.1. It also includes forecast dates of key interest to the bidders (publication of the bid and contract start date) in addition to a column “Comment” which shall be used to introduce any additional information not provided in existing columns, but necessary and useful for potential bidders.

9.3.2. The agreed and updated Simplified PP shall be published on the EA’s website, if this exists. The Bank publishes the same, as well as contract awards, on its public website.

9.3.3. The Template for the PP Simplified Version is shown in Annex D.

9.4 PP FA Template

9.4.1. The PP FA Version shall contain the requirements of the Procurement Policy Clause 11.1 which constitute the critical legal elements of the PP including:

➢ procurement regime or system;
➢ description of the goods, works and services;
➢ estimated costs;
➢ procurement methods and procedures; and
➢ Bank oversight modalities.

9.4.2. To enable this to be achieved, an initial draft PP must be agreed upon by the end of the project appraisal phase or, at the latest, before negotiating the FA. All PMs determined to be best FfP and therefore required to achieve VfM in project implementation must be set forth in the FA. The PP FA Version shall result from the Detailed PP as agreed during negotiations. It is incorporated into the FA, and thus is legally binding on both parties. Regular updates of the PP may only consider PMs permitted thereunder, including those under the BPS that have been agreed.

9.4.3. PPrs including bid evaluation procedures and criteria may, however, be revisited during annual audits as agreed between the Borrower and the Bank. Additional PMs may be considered, should project circumstances so demand, through an amended PP. A violation of the PP may give rise to the exercise of remedies under the FA.
9.4.4. The Template for the PP FA Version is depicted in Annex E.

10. Responsibilities of key actors

10.1 The Borrower

10.1.1. The Borrower is responsible for preparing the initial detailed procurement plan based on its national procurement strategy, the project feasibility and implementation strategy and plan, and the capacity of its implementing entity. After discussion with the Bank the Borrower shall finalized the detailed plan in accordance with the Procurement Policy Clause 11.1 (Box 1). Along with the PP the Borrower shall also prepare the General Procurement Notice (GPN) for the project or programme, ready for discussions during project negotiation.

10.1.2. During project execution, the Project Coordination Team shall utilize the detailed PP to proactively manage and monitor the project administration. The Project team shall propose updates as the project execution advances and the situation evolves, in order to continuously ensure that it remains FfP and is delivering VfM.

10.2 The Bank

10.2.1. Assistance with the Preparation of the PP: It is the responsibility of the PS and TM to assist the Borrower’s EA in preparing the detailed PP and the GPN during project preparation and appraisal.

10.2.2. Negotiating the PP: During the Loan or Grant Negotiation, the PS and TM shall lead the Bank’s team in the discussions and in reaching agreement with the Borrower on the detailed PP.

10.2.3. The agreed detailed PP shall be approved by the Bank (in accordance with the DAM) and incorporated into the PAR. At the same time the relevant columns shall be extracted to form the FA Version which shall be included in the FA. This conversion shall be the joint responsibility of the PS, TM and the Legal Officer responsible for the project.

10.2.4. In an associated activity during project negotiation, the PS and TM shall review the GPN submitted by the Borrower, suggest any amendments and when finalized, approve it (in accordance with the DAM) at the end of the negotiations and make it ready for publication.

10.2.5. Publication of the PP: After approval by the Board of Directors of the Loan or Grant the TM, as the owner of the project in the Bank, shall forward the PP Simplified Version and the GPN agreed between the Bank and the Borrower during negotiations, to the PS with a copy to the RPC and the ROM as applicable. It shall be the responsibility of the PS to ensure that the PP Simplified Version (including updates) and the GPN, are published on the Bank’s website. In the case of Advance Contracting, publication of the PP and GPN shall be done prior to the approval of the Financing.

10.2.6. Using the PP during Project Implementation: The PS and the TM shall use the Detailed PP as a critical and essential tool in following and monitoring project implementation during both desk and field technical supervisions. They shall further encourage the Borrower’s EA (Project Coordinator/PIM) to also do the same to proactively execute the project and ensure that all procurement methods and procedures remain FfP throughout the project execution period and achieve VfM for the Borrower.
10.2.7. **Updating the PP during Project Implementation:** During project execution whenever the TM receive any update of the detailed PP proposed by the Borrower, he/she and the PS shall review it. When agreement is reached the TM shall have it approved in accordance with the prevailing DAM. Where the FA needs to be amended, agreement shall be reached on it with the Borrower, and it shall be undertaken with the assistance of the Legal Officer in accordance with the DAM.

10.2.8. The resulting revised PP Simplified version shall be published to replace the former version on the Bank’s web site.
ANNEX A – Procurement Planning Flowchart

1. Learn project goals and objectives
   - Borrower
   - Procurement Specialist

2. Identify and assess borrower needs
   - Borrower
   - Procurement Specialist

3. Undertake a detailed sector level market analysis
   - Borrower
   - Procurement Specialist

4. Establish efficient contract packaging
   - Borrower
   - Procurement Specialist

5. Decide on appropriate oversight mechanisms
   - Borrower
   - Procurement Specialist

6. Determine most optimal procurement methods
   - Borrower
   - Procurement Specialist

7. Determine expenditure categories
   - Borrower
   - Procurement Specialist

8. Compute cost estimates for different packages
   - Borrower
   - Procurement Specialist

9. Determine procurement strategy
   - Borrower
   - Procurement Specialist

10. Establish efficient contract packaging
    - Borrower
    - Procurement Specialist

11. Review / update diagnostic assessments
    - Borrower
    - Procurement Specialist

12. Determine procurement regimes
    - Borrower
    - Procurement Specialist

13. Determine expenditure categories
    - Borrower
    - Procurement Specialist

14. Assess the capacity and resources of EA
    - Borrower
    - Procurement Specialist

15. Determine procurement regimes
    - Borrower
    - Procurement Specialist

16. Determine most optimal procurement methods
    - Borrower
    - Procurement Specialist

17. Decide on appropriate oversight mechanisms
    - Borrower
    - Procurement Specialist

18. Revisit PP and make changes were necessary
    - Borrower
    - Procurement Specialist

19. Produce PP
    - Borrower
    - Procurement Specialist
## ANNEX B1 – Processing timelines (Goods, Works)

### Standard Procurement Processing Timelines for Goods, Works and Non-Consulting Services

under Bank Group-Financed Projects using Bank PMPs

<table>
<thead>
<tr>
<th>Procurement Processing Activities</th>
<th>Explanatory Details of Activities</th>
<th>Minimum Number of Days</th>
<th>Maximum Number of Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Advertising of General Procurement Notice (GPN) in UNDB Online</td>
<td>GPN to be agreed during Negotiations. Publication after approval by the appropriate Approving Authority. Advertising of Specific Procurement Notice (SPN) undertaken when bid documents are ready but not earlier than the date of publication of the GPN</td>
<td>7</td>
<td>14</td>
</tr>
<tr>
<td>2 Preparation of Bid Documents by Executing Agency (EA).</td>
<td>14 to 28 days, using Standard Bid Documents (SBDs), depending on complexity including sending BD to the Bank</td>
<td>14</td>
<td>28</td>
</tr>
<tr>
<td>3 No-objection of SBDs by ADB</td>
<td>7 to 14 days</td>
<td>7</td>
<td>14</td>
</tr>
<tr>
<td>4 Advertising of Specific Procurement Notice. Under International OCB, advertising in UNDB Online is required</td>
<td>Must be done at the same time when Bidding Documents (or prequalification documents) are available for sale by the Executing Agency</td>
<td>7-14 days (4 days for Executing Agency to prepare and send Advert to the Bank, 2-4 days for SNFI to vet the Advert and send it to UNDB, 2-6 days lead time for UNDB to publish) When Bid Documents are ready (see line 2 above)</td>
<td>7</td>
</tr>
<tr>
<td>5a Preparation of Prequalification Document</td>
<td>14 – 21 days (Standard Prequalification document) including sending to the Bank</td>
<td>14</td>
<td>21</td>
</tr>
<tr>
<td>5b ADB No objection of Prequalification Document</td>
<td>7 to 14 days maximum</td>
<td>7</td>
<td>14</td>
</tr>
<tr>
<td>5c Application Period: Preparation of Prequalification Application from publication of SPN</td>
<td>Sufficient time – 6 weeks = 42 days from day of advertising in UNDB</td>
<td>42</td>
<td>42</td>
</tr>
<tr>
<td>5d Evaluation of Prequalification by EA</td>
<td>7 days including sending evaluation report to the Bank</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>5e Prequalification evaluation No-objection by the Bank</td>
<td>7 days</td>
<td>7</td>
<td>14</td>
</tr>
</tbody>
</table>

---


2 The Bank’s 2015 Procurement Policy Framework being policy based does not mandate timelines. Adequate time must be provided for Bidders to prepare responsive bids. These numbers are only time standards to guide practitioners to ensure good practice.
<table>
<thead>
<tr>
<th></th>
<th>Bidding Period: Preparation of bids by Bidders from advertising to issue of bids to bid-closing date.</th>
</tr>
</thead>
<tbody>
<tr>
<td>6a</td>
<td>Open Competitive Bidding (OCB) International</td>
</tr>
<tr>
<td></td>
<td>Limited Competitive Bidding (LCB) International</td>
</tr>
<tr>
<td></td>
<td>OCB National</td>
</tr>
<tr>
<td></td>
<td>LCB National / Shopping/ Request for Quotations (RFQ)</td>
</tr>
<tr>
<td>6b</td>
<td>Bid-evaluation by EA under OCB &amp; LIC (International) and national OCB</td>
</tr>
<tr>
<td>6c</td>
<td>Bid-evaluation by EA under national LCB - Shopping</td>
</tr>
<tr>
<td>6d</td>
<td>Bid-evaluation No-objection by the Bank</td>
</tr>
<tr>
<td>7</td>
<td>Contract award by Executing Agency</td>
</tr>
<tr>
<td>8</td>
<td>Contract signature approved by Recipient</td>
</tr>
</tbody>
</table>

**Total Procurement Lead-Time** from date of publishing the SPN to the date of Contract Signature:

- **International OCB with Prequalification:**
  - Minimum 182 days (6.1 months);
  - Maximum 294 days (9.8 months)
- **International OCB without Prequalification:**
  - Minimum 105 days (3.5 months);
  - Maximum 196 days (6.5 months)
- **LCB International:**
  - Minimum 77 days (2.6 months); maximum 126 days (4.2 months)
<table>
<thead>
<tr>
<th></th>
<th>Procurement Processing Activities</th>
<th>Explanatory Details of Activities</th>
<th>Minimum Number of Days</th>
<th>Maximum Number of Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Advertising of General Procurement Notice (GPN) in UNDB Online (with Goods, Works and Consultancy Services combined, requesting General Expressions of Interest (EOI) for Services)</td>
<td>GPN to be agreed during Negotiations. Publication after approval by the appropriate Approving Authority. Advertising of Specific Procurement Notice (SPN) undertaken when requests for proposals documents are ready but not earlier than the date of publication of the GPN.</td>
<td>7</td>
<td>14</td>
</tr>
<tr>
<td>2</td>
<td>Publication of the Specific Procurement Notice (SPN) for Expressions of Interest in UNDB Online required for Contracts of value greater than UA 200,000.</td>
<td>14 days (4 days for EA to prepare and forward the Advert to the Bank; 3 days for the Bank to review and send to SNFI to vet the Advert and send it to UNDB; and 7 days lead time for UNDB to publish Online</td>
<td>7</td>
<td>14</td>
</tr>
<tr>
<td>3</td>
<td>Lead time for receiving Expressions of Interest after (i) publication in UNDB Online. (ii) publication in National Press for Contract value less than UA 200,000 (Euros 200,000)</td>
<td>14 days</td>
<td>14</td>
<td>14</td>
</tr>
<tr>
<td>4</td>
<td>Preparation by EA of Shortlist based on GPN and SPN and qualifications needed for carrying out the TOR</td>
<td>7 days, including communicating Shortlist to the Bank</td>
<td>7</td>
<td>14</td>
</tr>
<tr>
<td>5</td>
<td>Preparation of Terms of Reference (TOR) and the RFP, by the EA</td>
<td>14 to 35 days, depending on complexity of the assignment including correspondence with Bank</td>
<td>14</td>
<td>35</td>
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<tr>
<td>6</td>
<td>No objection of the Shortlist , TOR and RFP, by the Bank</td>
<td>7 to 14 days</td>
<td>7</td>
<td>14</td>
</tr>
<tr>
<td>7</td>
<td>Preparation of Proposals by Short listed Consulting Firms</td>
<td>4 weeks = 28 days to 3 months = 90 days, depending on complexity for preparation and submission of proposals. 45 days (Rule 4.2.230)</td>
<td>28</td>
<td>90</td>
</tr>
<tr>
<td>8</td>
<td>Opening of Technical Proposals and evaluation by the EA</td>
<td>14 to 28 days including submission of technical proposals evaluation report to the Bank</td>
<td>14</td>
<td>28</td>
</tr>
<tr>
<td>9</td>
<td>Technical Evaluation No objection by the Bank</td>
<td>7 to 14 days, maximum</td>
<td>7</td>
<td>14</td>
</tr>
<tr>
<td>10</td>
<td>Public Opening of the Financial Proposals, Evaluation and Compilation of the Final Report by the EA</td>
<td>7 to 21 days including submission of combined technical and financial evaluation report to the Bank</td>
<td>7</td>
<td>21</td>
</tr>
</tbody>
</table>


4. The Bank’s 2015 Procurement Policy Framework being policy based does not mandate timelines. Adequate time must be provided for Bidders to prepare responsive bids. These numbers are only time standards to guide practitioners to ensure good practice.
<table>
<thead>
<tr>
<th></th>
<th>Activity Description</th>
<th>Timeframe</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>11</td>
<td>EA invites selected Consulting Firm for negotiations</td>
<td>7 to 14 days from receipt of No-objection from the Bank</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>No-objection to the Minutes of Negotiations and negotiated Contract.</td>
<td>7 days from end of negotiations</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Contract award by EA</td>
<td>Within 7 days of No-objection by Bank</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Contract signature</td>
<td>7 to 28 days from receiving Bank No objection</td>
<td></td>
</tr>
</tbody>
</table>

**Total Procurement Processing Lead-Time** from preparation of TOR and RFP Documents to Contract Signature:

- Contracts of Value greater than UA 200,000 (Euros 200,000): minimum 126 days (4.2 months); maximum 293 days (9.8 months)
- Contracts of Value less than UA 200,000 (Euros 200,000): minimum 112 days (3.7 months); maximum 258 days (8.6 months)
## ANNEX C1 – Detailed Procurement Plan (Goods, Works)

** PROCUREMENT PLAN TEMPLATE DETAILED VERSION FOR PROCUREMENT OF GOODS & WORKS**

**Country/Executing Agency:**

**Name of Project/Programme:**

**Loan Number:**

### Basic Data

<table>
<thead>
<tr>
<th>Package System*</th>
<th>Package Number</th>
<th>Package Description</th>
<th>Lot Number**</th>
<th>Lot Description**</th>
<th>Issue No.</th>
<th>Lump Sum or Bill of Quantities</th>
<th>Estimated Cost (UA)**</th>
<th>Procurement Method</th>
<th>Pre-or-Post Qualification</th>
<th>Oversight Audit/Pre- or-Post Review***</th>
<th>Plan Revised Actual++</th>
<th>Date Submitted</th>
<th>Date No-Object</th>
<th>Date Bid Invitation (SPN)</th>
<th>Date Bid Closing-Opening</th>
<th>Date Bid Evaluation Report Submitted</th>
<th>Date No-Object</th>
<th>Date Contract Award</th>
<th>Contract Amount (Insert Currency)++</th>
<th>Date Contract Signature</th>
<th>Date Contract Completion</th>
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</thead>
<tbody>
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</tbody>
</table>

** Insert procurement system or regime used for the procurement transaction under the project (BPS, Bank or Third Party PMPs).**

**+ If applicable.**

**++ Total cost of the Package, Lot or Procurement Transaction in UA from the PAR.**

**+++ Indicate Oversight modality - Procurement Audit under BPS / Prior Review / Post Review.**

**++ Indicates Currency of the Contract.**

**++ The Template is to be adapted for two-stage bidding process by adding appropriate columns for the second stage of the sequential bidding period and bid evaluation processes.**

**++ The Template is to be adapted for two-stage bidding process by adding appropriate columns for the second stage of the sequential bidding period and bid evaluation processes.**

**++ Indicates Currency of the Contract.**

**Retain procurement “Plan” agreed at Negotiation and Approved by the Boards, throughout project duration.**

“Revised” includes all updates and revisions.

Record the “Actual” date of completion of the activity.

**+** The Template is to be adapted for two-stage bidding process by adding appropriate columns for the second stage of the sequential bidding period and bid evaluation processes.

**++ Indicates Currency of the Contract.**

---

<table>
<thead>
<tr>
<th>Total Cost</th>
<th>Plan</th>
<th>Revised</th>
<th>Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Plan</td>
<td>Revised</td>
<td>Actual</td>
</tr>
</tbody>
</table>

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Record the “Actual” date of completion of the activity.

---

Insert procurement system or regime used for the procurement transaction under the project (BPS, Bank or Third Party PMPs).

**+ If applicable.**

**++ Total cost of the Package, Lot or Procurement Transaction in UA from the PAR.**

**+++ Indicate Oversight modality - Procurement Audit under BPS / Prior Review / Post Review.**

**++ Indicates Currency of the Contract.**

**++ The Template is to be adapted for two-stage bidding process by adding appropriate columns for the second stage of the sequential bidding period and bid evaluation processes.**

**++ Indicates Currency of the Contract.**

Retain procurement “Plan” agreed at Negotiation and Approved by the Boards, throughout project duration.

“Revised” includes all updates and revisions.

Record the “Actual” date of completion of the activity.

**+** The Template is to be adapted for two-stage bidding process by adding appropriate columns for the second stage of the sequential bidding period and bid evaluation processes.

**++ Indicates Currency of the Contract.**
ANNEX C2 – Detailed Procurement Plan (Consultants)

PROCUREMENT PLAN TEMPLATE DETAILED VERSION FOR ACQUISITION OF CONSULTING SERVICES
Country/Executing Agency: 
Name of Project/Programme:  
Loan Number:  

<table>
<thead>
<tr>
<th>Procurement System*</th>
<th>Selection Method</th>
<th>Lump Sum / Time-based</th>
<th>Estimated Cost (UA)**</th>
<th>Plan Revised Actual***</th>
<th>Date Published</th>
<th>Closing Date</th>
<th>Date Submitted</th>
<th>Date No-Objection</th>
<th>Date Submitted</th>
<th>Date No-Objection</th>
<th>Plan Revised Actual***</th>
<th>Date RFP Documents Submitted</th>
<th>Date No-Objection</th>
<th>Date RFPs Issued</th>
<th>Technical Report Submitted</th>
<th>Date No-Objection</th>
<th>Date Opening Financial Proposals</th>
<th>Date No-Objection</th>
<th>Date Combined Report Submitted</th>
<th>Date No-Objection</th>
<th>Date Contract Award</th>
<th>Contract Amount (Currency)***</th>
<th>Date Contract Signature</th>
<th>Date Contract Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revised</td>
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</tbody>
</table>

* Indicate procurement system or regime used for the procurement transaction under the project (BPS, Bank or Third Party PMPs).
** Total cost of the Package, Lot or Procurement Transaction in UA from the PAR
*** Indicate Oversight modality - Procurement Audit under BPS / Post Review / Post Review
**+ Retain procurement “Plan” agreed at Negotiation and Approved by the Boards, throughout project duration.
*+ Revised includes all updates and revisions.
** Indicate Currency of the Contract.
++ Indicate “Actual” date of completion of the activity.
## ANNEX D – Simplified Procurement Plan

**PROCUREMENT PLAN TEMPLATE - SIMPLIFIED VERSION**

Name of Project/Programme:
Loan Number:

<table>
<thead>
<tr>
<th>Procurement System</th>
<th>Package Number</th>
<th>Package Description</th>
<th>Category~</th>
<th>Estimated Cost (UA)**</th>
<th>Procurement Method</th>
<th>Oversight Audit-Prior-or-Post Review***</th>
<th>Date SPN Published</th>
<th>Date Bids / Proposals Closing - Opening</th>
<th>Date Contract Award</th>
<th>Contract Amount (insert currency)**+</th>
<th>Date Contract Completion</th>
<th>Comments for Contract Execution</th>
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**Total Cost**

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* Insert procurement system or regime used for the procurement transaction under the project (BPS, Bank or Third Party PMPs).
~ Indicate Goods, Works, Non-consulting Services, Consulting Services
** Total cost of the Package, Lot or Procurement Transaction in UA from the PAR
*** Indicate Oversight modality - Procurement Audit under BPS / Prior Review / Post Review.
+= Indicate Currency of the Contract.
ANNEX E – Procurement Plan (for Financing Agreement)

<table>
<thead>
<tr>
<th>Procurement System&lt;sup&gt;i&lt;/sup&gt;</th>
<th>Package No.</th>
<th>Package Description</th>
<th>Category&lt;sup&gt;ii&lt;/sup&gt;</th>
<th>Lot No.&lt;sup&gt;iii&lt;/sup&gt;</th>
<th>Lot Description&lt;sup&gt;iv&lt;/sup&gt;</th>
<th>Estimated Cost&lt;sup&gt;vi&lt;/sup&gt; (Insert Currency)</th>
<th>Procurement Method</th>
<th>Pre-or Post-Qualification</th>
<th>Procurement Oversight&lt;sup&gt;v&lt;/sup&gt;</th>
<th>Planned SPN Publication Date</th>
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</table>

<sup>i</sup> Insert Procurement systems used under the project (Borrower Procurement System and/or Bank’s Methods & Procedures and/or Third Party)

<sup>ii</sup> Indicate: Goods/Works/Consulting Services/Non-Consulting Services

<sup>iii</sup> If applicable

<sup>iv</sup> If applicable

<sup>vi</sup> Indicate (Procurement Audit / Post Review / Prior Review)