

Project Administration Manual

Project Number: 52328-002
Loan Number: LXXXX
April 2021

India: Maharashtra Rural Connectivity Improvement
Project – Additional Financing

ABBREVIATIONS

ADB	–	Asian Development Bank
CAG	–	Comptroller and Auditor General
EFP	–	environmental focal person
EMoP	–	environmental monitoring plan
EMP	–	environmental management plan
EMR	–	environmental monitoring report
GAP	–	gender action plan
GRC	–	grievance redress committee
GRM	–	grievance redress mechanism
IEE	–	initial environmental examination
MMGSY	–	Mukhya Mantri Gram Sadak Yojana (Chief Minister's Rural Road Scheme)
MRRDA	–	Maharashtra Rural Road Development Association
km	–	kilometer
PAM	–	project administration manual
PISC	–	project implementation support consultant
PIU	–	project implementation unit
PMGSY	–	Pradhan Mantri Gram Sadak Yojana (Prime Minister's Rural Road Development Program)
PMU	–	project management unit
SBD	–	standard bidding document
SDDG	–	Social Safeguard Due Diligence Guideline
SDDR	–	Social Safeguard Due Diligence Report
SOE	–	statement of expenditure
SPS	–	Safeguard Policy Statement (2009)

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Project Administration Manual Purpose and Process

The project administration manual (PAM) describes the essential administrative and management requirements to implement the project on time, within budget, and in accordance with the policies and procedures of the government and Asian Development Bank (ADB). The PAM should include references to all available templates and instructions either through linkages to relevant URLs or directly incorporated in the PAM.

The Maharashtra Rural Road Development Association (MRRDA) is wholly responsible for the implementation of the ADB-financed project, as agreed jointly between the borrower and ADB, and in accordance with the policies and procedures of the government and ADB. ADB staff is responsible for supporting implementation including compliance by MRRDA of their obligations and responsibilities for project implementation in accordance with ADB's policies and procedures.

At loan negotiations, the borrower and ADB shall agree to the PAM and ensure consistency with the loan agreement. Such agreement shall be reflected in the minutes of the loan negotiations. In the event of any discrepancy or contradiction between the PAM and the loan agreement, the provisions of the loan agreement shall prevail.

After ADB Board approval of the project's report and recommendation of the President (RRP), changes in implementation arrangements are subject to agreement and approval pursuant to relevant government and ADB administrative procedures (including the Project Administration Instructions) and upon such approval, they will be subsequently incorporated in the PAM.

I. PROJECT DESCRIPTION

1. The Maharashtra Rural Connectivity Improvement Project—Additional Financing will scale up improvement of rural connectivity with an additional 1,100 climate-resilient all-weather roads and 230 bridges totaling 2,900 kilometers (km) in 34 districts of the State of Maharashtra.¹ The roads and bridges will connect rural habitations, productive agricultural lands and markets, and economic growth centers across the state. The additional financing is aimed to accelerate the state's coronavirus disease 2019 (COVID-19) economic recovery by generating rural employment and transforming agriculture. The roads and bridges will connect rural settlements, productive agricultural lands and markets, and economic growth centers across the state. This will enhance agricultural productivity and food security; strengthen agricultural value chains, building on the state's advanced agriculture marketing reforms; and help increase the average growth rate of agriculture and allied activities to more than 5% per year by 2030, which is a target of the state's strategic development plan, Vision 2030.²

2. The proposed project is being financed and implemented in a phased approach with \$200 million ongoing loan and \$300 million for proposed additional financing.³ The phased approach helps to augment ADB financing upon developing institutional capacity of the executing agency.⁴ The additional financing scope is strongly linked to the ongoing project's scope and both are implemented under the same implementation arrangements.

3. The proposed additional financing project will scale up the ongoing project's outputs by (i) expanding improvement and maintenance of rural roads under output 1 by 1,100 roads and 230 bridges with the total length of 2,900 km; (ii) adding further piloting of new technologies such as asphalt blended with plastic waste and pre-cast concrete arch bridges under output 1; and (iii) adding the following under output 2: (a) impact evaluation study and (b) mobile mapping monitoring tool. The outputs of the overall project (both ongoing and additional financing projects) are:

- (i) **Output 1: Conditions and safety of selected rural roads improved and maintained with climate resilience and safety features.** The overall project will improve the condition of about 5,000 km of rural roads, including 230 bridges—connecting rural communities with productive agricultural areas and socioeconomic centers—to all-weather standards, with climate resilience and safety features.⁵ The roads were selected based on population, economic activity, and road connectivity. The designs of roads and bridges were developed and refined through intensive stakeholder consultation and incorporated climate resilience measures such as improved cross and side drainage, increased surface elevations, and stronger embankments in the designs. Environment-friendly alternative sealing options, such as asphalt blended with plastic waste, will be piloted on selected road segments. Other new technologies, such as fiber-reinforced concrete and pre-cast concrete arch bridge, will also be piloted for

¹ The Asian Development Bank (ADB) supported project preparation under the technical assistance (TA) facility for India: Strengthening Capacity to Design and Implement Water and Rural Infrastructure Facility (TA 9738-IND).

² State Government of Maharashtra, Planning Department. 2018. [Vision 2030](#). Mumbai.

³ The Ministry of Finance requested for \$500 million ADB assistance in a letter dated 13 September 2018.

⁴ ADB provided an attached technical assistance to the ongoing project to improve road asset management system to enhance sustainability of road assets (ADB. 2019. [Technical Assistance to India for Institutional Strengthening of the Maharashtra Rural Road Sector for Sustainable Development](#) (\$1.0 million). Manila).

⁵ Roads were selected from the priority list of the district road development plans. Safety measures include cautionary and information signs, guard posts, and speed breakers.

further practical application in similar settings. Operation and maintenance of the roads and bridges will be covered under contractual maintenance for 5 years following construction.⁶

- (ii) **Output 2: Capacity of rural infrastructure agency and awareness among road users in the state enhanced.** The overall project will deliver (i) manuals for design, construction, and maintenance of climate-resilient and gender-inclusive rural roads; (ii) an information technology-based implementation and monitoring system with a mobile mapping tool; (iii) training of the Maharashtra Rural Road Development Association (MRRDA) on road safety, road asset management, contract management, and climate-resilient design and construction; (iv) impact evaluation of the project benefits through baseline and end-line surveys; and (v) training of road users and local residents on (a) improving road users' awareness on road safety and gender-based violence (including sexual exploitation, human trafficking, and sexually transmitted infections); and (b) enhancing women workers' road construction and maintenance skills.

4. These outputs will result in the following outcome: road transport efficiency in 34 districts in Maharashtra increased.⁷ The project is aligned with the following impact: quality, reliable, sustainable, safe, and affordable roads that provide equitable access for all developed (footnote 2). The overall aggregate impact and outcome of the project remains unchanged from the ongoing project. An outcome indicator has changed as a result of scaling up by the additional financing.

⁶ The same contractors that build the roads will perform routine maintenance for 5 years. The government will finance all maintenance costs.

⁷ The design and monitoring framework is in Section IX: Performance Monitoring, Evaluation, Reporting and Communication.

II. IMPLEMENTATION PLANS

A. Project Readiness Activities

Table 1: Project Readiness Activities (Additional Financing)

Indicative Activities	2020									2021											Responsible Agency
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	
Advance contracting actions																					
(i) Procurement of advance civil works (roads) packages (OCB, single stage-two envelope)																					MRRDA
(a) Bid advertisement							X	X													MRRDA
(b) Bid submission and evaluation								X	X	X											MRRDA, ADB
(c) Contract award														X							MRRDA
Project implementation arrangements	X	X	X	X	X	X	X	X	X	X	X	X	X	X							MRRDA
Approval of Detailed Project Reports	X	X																			MRRDA
Loan negotiations													X								ADB, MOF
ADB Board approval																	X				ADB
Loan signing																		X			ADB, MOF
Government legal opinion provided																			X		MOL&J, MOF
Loan effectiveness																				X	ADB/MOF

ADB = Asian Development Bank, MOF = Ministry of Finance, MOL&J = Ministry of Law and Justice, MRRDA = Maharashtra Rural Road Development Association, OCB = open competitive bidding.

B. Overall Project Implementation Plan

Table 2: Implementation Schedule

ITEM	2019				2020				2021				2022				2023				2024				2025				2026				2027			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4				
Output 1: Conditions and safety of selected rural roads improved and maintained with climate resilience and safety features																																				
1.1 Award contracts for improving about 2,100 km of roads to all-weather standards by Q1 2020 (completed); complete construction of these roads by Q1 2024; and maintain these roads for 5 years.																																				
1.2 Award contracts for improving about 2,900 km of roads to all-weather standards by Q4 2021; complete construction of these roads by Q1 2026; and maintain these roads for 5 years .																																				
Output 2: Capacity of rural infrastructure agency and awareness among road users in the State enhanced																																				
2.1 Mobilize PISC by Q3 2021.																																				
2.2 Create capacity development training programs for MRRDA and project communities by Q4 2021.																																				
2.3 Conduct the training programs by Q1 2022.																																				
2.4 Develop manuals for road safety, performance-based maintenance, and climate-resilient and gender-inclusive design and construction by Q4 2021.																																				
2.5 Conduct annual road safety audits (2020–2025).																																				
2.6 Conduct baseline survey for impact evaluation by Q3 2021.																																				
2.7 Conduct and participate in workshops and forums to replicate the project's value addition in and outside India by Q4 2025.																																				
2.8 Conduct end-line survey by Q1 2026.																																				
Project Management																																				
3.1 Recruit PISC (completed)																																				
3.2 Recruit TA Consultant (completed)																																				
3.3 Conduct environment management plan activities																																				
3.4 Develop and implement web-based real-time project monitoring system																																				
3.5 Organize GAP and communication activities																																				
3.6 Conduct annual and midterm review missions																																				
3.7 Prepare project completion report																																				

GAP = gender action plan, MRRDA = Maharashtra Rural Road Development Association, PISC = project implementation support consultant, Q = quarter; TA = technical assistance.

Source: Asian Development Bank.

III. PROJECT MANAGEMENT ARRANGEMENTS

A. Project Implementation Organizations: Roles and Responsibilities

Table 3: Project Implementation Organizations: Roles and Responsibilities

Project Implementation Organizations	Management Roles and Responsibilities
Executing agency: State of Maharashtra acting through the Maharashtra Rural Road Development Association (MRRDA)	MRRDA will be responsible for: <ul style="list-style-type: none"> • overall coordination of project implementation; • timely counterpart fund availability; • compliance with loan covenants; and • arrangements for financial audits and implementation of recommended actions for improving financial management.
Implementing Unit: Project Management Unit (PMU) – MRRDA Headed by Chief Executive Officer	The PMU has been established within MRRDA and is headed by a Chief Executive Officer as Project Director with overall responsibility for executing the project. The Project Director will be assisted by two Deputy Project Directors. The PMU is responsible for overall project management covering: <ul style="list-style-type: none"> • consultant recruitment; • consultant contract management; • overall contract monitoring and quality assurance control; • project performance monitoring; • project financial management including timely submission of withdrawal applications, maintenance of financial records and accounts; and • submission of quarterly and annual project progress reports, annual safeguard monitoring reports (environment), and project completion report.
Regional Offices Headed by Superintending Engineer	Six Regional Offices will be established at the division level. Each Regional Office will be headed by a Superintending Engineer and will be responsible for management of the civil works contracts in their respective areas. The functions of the Superintending Engineer will include: <ul style="list-style-type: none"> • close coordination with Chief Engineer on management of civil works contracts, timely disbursements, compliance with loan covenants and any project management issues; • monitoring environmental management plan implementation; • addressing project related grievances on gender and safeguards; • preparing progress reports for assigned contracts; • verification and certification of contractors' claims within their financial power and submission of required documents for withdrawal applications; • payments to contractors; and • procurement of civil works and goods.
District Offices Project Implementation Unit (PIU) Headed by Executive Engineer	Existing staff in 34 District Offices will be given additional charge to perform the following functions: <ul style="list-style-type: none"> • day-to-day inspection of civil works and quality assurance control; • preparation of progress reports for assigned contracts; • verification and certification of contractors' claims within their financial power and submission of required documents for payments;

Project Implementation Organizations	Management Roles and Responsibilities
	<ul style="list-style-type: none"> • receipt and review of claims from contractors; preparation and submission of Memorandum of Payment and Requisition Form to Superintending Engineer for processing; and • maintenance of project financial and other records.
Asian Development Bank (ADB)	<p>ADB will monitor and review overall implementation of the project including compliance with loan agreement, project agreement and ADB guidelines. ADB will:</p> <ul style="list-style-type: none"> • field biannual review missions, midterm review mission, and project completion review mission to assess project implementation progress and compliance with loan covenants; • review PMU's submissions for procurement of goods, civil works, and services; and • ensure timely disbursement of funds subject to PMU's submission of withdrawal applications.

Source: Asian Development Bank.

B. Key Persons Involved in Implementation

Executing Agency

State of Maharashtra acting through the Maharashtra Rural Road Development Association (MRRDA)

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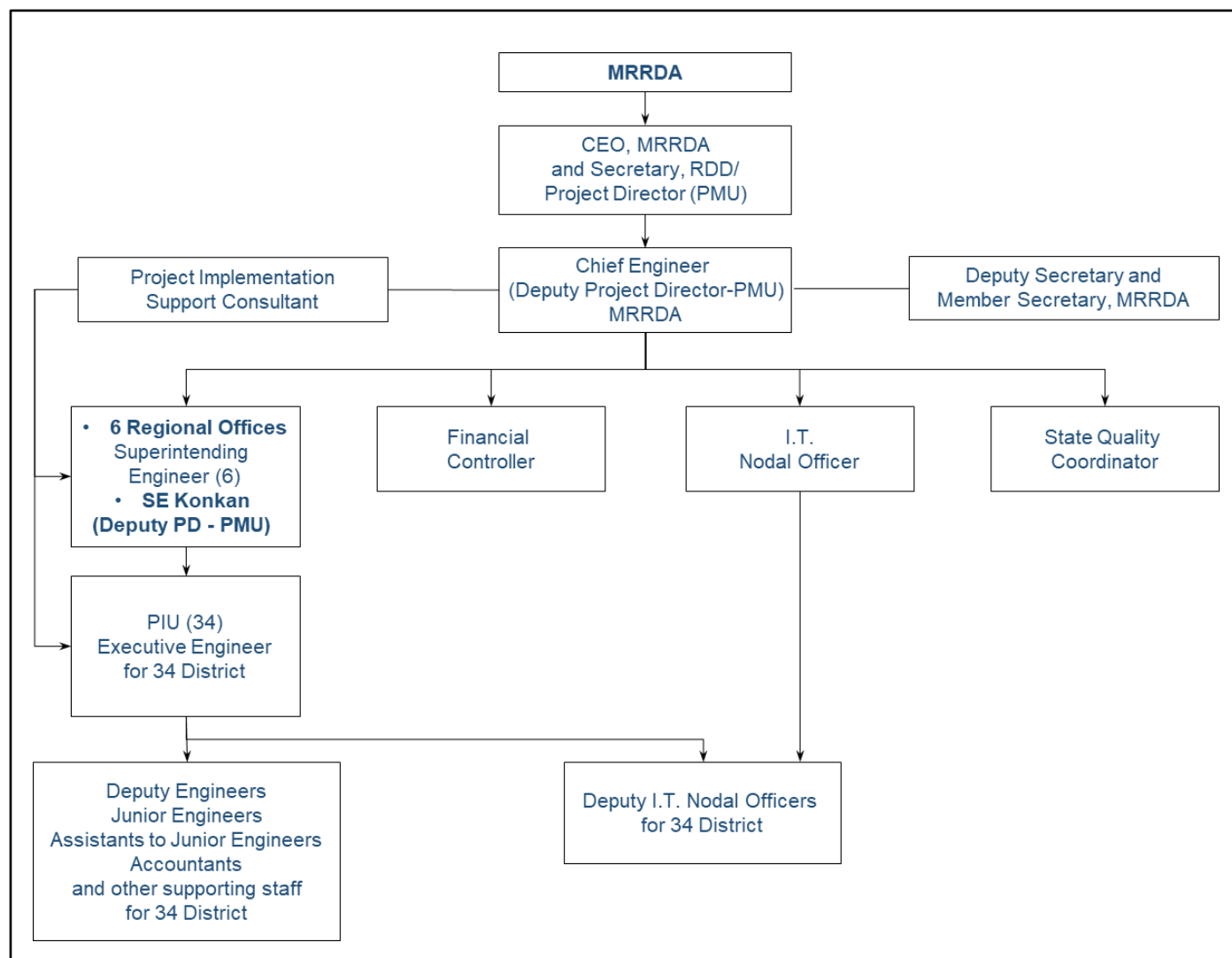
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C. Project Organization Structure

5. The following flow chart and table show the reporting lines and essential internal structures of the project implementation units (PIUs) and their staffing assignments.

Figure 1: Project Organization Structure



CEO = Chief Executive Officer, IT = information technology, MRRDA = Maharashtra Rural Road Development Association, PD = project director, PIU = project implementation unit, PMU = project management unit, RDD = Rural Development Department, SE = superintending engineer.

Table 4: Staffing Pattern of MRRDA

Sr. No.	Name of the Post	No. of Sanctioned Post	Mode of Appointment
State Level Post			
A.	Chief Engineer Office		
1	Chief Engineer	1	Deputation from PWD
2	Executive Engineer	1	Deputation from PWD
3	Deputy Engineer	2	Deputation from PWD
4	Junior Engineer	2	Deputation from ZP/Outsourcing
5	Steno (Higher Grade)	1	Mantralaya Cadre
6	Peon	1	Contract Basis/Outsourcing
7	Driver	1	Contract Basis/Outsourcing
	Total	9	
B.	State Quality Controllers Office		
1	State Quality Controller (Superintendent Engineer level officer)	1	Deputation from PWD
2	Deputy Engineer	1	Deputation from PWD
3	Junior Engineer	2	Deputation from ZP/Contract Basis/Outsourcing
4	Steno	1	Contract Basis/Outsourcing
5	Clerk/Computer Operator	1	Contract Basis/Outsourcing
6	Peon	1	Contract Basis/Outsourcing
7	Driver	1	Contract Basis/Outsourcing
	Total	8	
C.	Financial Controller Office		
1	Financial Controller (C.A.)	1	Deputation from Finance Department
2	Account Officer (Group-B)	2	Deputation from Finance Department
3	Steno	1	Contract Basis/Outsourcing
4	Clerk/Computer Operator	1	Contract Basis/Outsourcing
5	Peon	1	Outsourcing/Outsourcing
	Total	6	
D.	ITNO Office		
1	IT Nodal Officer	1	Deputation from PWD/ZP
2	Junior Engineer	2	Deputation from PWD/ZP
	Total	3	
Division Level Post			
1	Superintendent Engineer	6	Deputation from PWD
2	Deputy Engineer	6	Deputation from PWD/ZP

Sr. No.	Name of the Post	No. of Sanctioned Post	Mode of Appointment
3	Junior Engineer	6	Deputation from ZP/Contract Basis/ Outsourcing
4	Accountant (Group-B)	6	Contract Basis/Outsourcing
5	Junior Engineer	12	Contract Basis/Outsourcing
6	Steno (Lower Grade)	6	Contract Basis/Outsourcing
7	Senior Clerk	6	Contract Basis/Outsourcing
8	Tender Clerk	6	Contract Basis/Outsourcing
9	Peon	6	Contract Basis/Outsourcing
10	Driver	6	Contract Basis/Outsourcing
	Total	66	
<u>District Level Post (PIU)</u>			
1	Executive Engineer	34	Deputation from PWD
2	Deputy Engineer	102	Deputation from PWD/ZP
3	Junior Engineer	442	Contract Basis/Deputation from ZP/ Outsourcing
4	Assistant Civil Engineer	442	Contract Basis/Outsourcing
5	Accountant (Group-C)	34	Contract Basis/Outsourcing
6	Senior Clerk/Assistant	68	Contract basis/Deputation from ZP/ Outsourcing
7	Peon	34	Contract Basis/Outsourcing
8	Driver	136	Contract Basis/Outsourcing
	Total	1,292	

TOTAL POST OF MRRDA**1,384**

CA = chartered accountant, IT = information technology, ITNO = information technology nodal officer, PIU = project implementation unit, PWD = Public Works Department, ZP = zilla parishad (district council).

Source: MRRDA.

IV. COSTS AND FINANCING

6. The overall project is estimated to cost \$737.9 million (Table 5).

Table 5: Summary of Cost Estimates
(\$ million)

Item		Current Amount ^a	Additional Financing ^b	Total
A.	Base Cost^c			
1.	Conditions and safety of selected rural roads improved and maintained	248.0	388.3	636.3
2.	Capacity development of rural infrastructure agency and awareness among road users in the State enhanced ^d	7.1	9.2	16.3
	Subtotal (A)	255.1	397.5	652.6
B.	Contingencies^d	18.3	34.9	53.2
C.	Financing Charges During Implementation^e	22.6	9.5	32.1
	Total (A+B+C)	296.0	441.9	737.9

Note: Numbers may not sum precisely because of rounding.

^a Refers to the original amount. Includes taxes and duties of \$24.7 million financed from ADB loan resources.

^b Refers to the additional financing amount. Includes taxes and duties of \$42.59 million to be financed from ADB loan resources. Such amount does not represent an excessive share of the project cost.

^c In 2020 prices as of 4 August 2020.

^d Physical contingencies computed at 5% for civil works; price contingencies based on ADB cost escalation factors; includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.

^e Interest during construction for the OCR loan(s) has been computed at the 5-year US dollar fixed swap rate plus an effective contractual spread of 0.50% and maturity premium of 0.10%. Commitment charges for the OCR loan are 0.15% per year to be charged on the undisbursed loan amount.

Sources: The Government of India and Asian Development Bank estimates.

7. The financing plan is in Table 6. ADB and the government will finance the expenditures in relation to investment costs, recurrent costs, and contingencies during implementation.⁸

Table 6: Financing Plan

Source	Current ^a		Additional Financing		Total	
	Amount (\$ million)	Share of Total (%)	Amount (\$ million)	Share of Total (%)	Amount (\$ million)	Share of Total (%)
ADB						
OCR (regular loan)	200.0	67.6	300.0	67.9	500.0	67.8
Government	96.0	32.4	141.9	32.1	237.9	32.2
Total	296.0	100.0	441.9	100.0	737.9	100.0

ADB = Asian Development Bank, OCR = ordinary capital resources.

^a Refers to the original amount and any previous additional financing.

Source: Asian Development Bank estimates.

A. Cost Estimates Preparation and Revisions

8. The cost estimates were prepared by ADB with information on the investment costs extracted from the government's detailed project report. The cost estimates were based on August 2020 prices.

⁸ Financing charges during implementation will be borne by the government.

B. Key Assumptions

9. The following key assumptions underpin the cost estimates and financing plan:

- (i) Exchange rate: ₹75.2 = \$1.00 (as of 4 August 2020).
- (ii) Price contingencies based on expected cumulative inflation over the implementation period are as follows:

Table 7: Escalation Rates for Price Contingency Calculation (%)

Item	2021	2022	2023	2024	2025	2026	Average
Foreign rate of price inflation	1.60%	1.70%	1.70%	1.80%	1.80%	1.80%	1.73%
Domestic rate of price inflation	3.80%	4.00%	4.00%	4.00%	4.00%	4.00%	3.97%

Source: Asian Development Bank estimates.

C. Detailed Cost Estimates by Expenditure Category

Table 8: Cost Estimates by Expenditure Category

Item	INR million			\$ million			% of Total Base Cost
	Foreign Currency	Local Currency	Total Cost	Foreign Currency	Local Currency	Total Cost ^a	
A. Investment Costs^b							
1. Civil works	2,456.47	25,056.04	27,512.51	32.67	333.19	365.86	92.0%
2. Consulting Services	4.51	12.33	16.84	0.06	0.16	0.22	0.1%
Subtotal (A)	2,460.99	25,068.37	27,529.35	32.73	333.36	366.08	92.1%
B. Recurrent Costs							
1. Project Administration	0.00	672.00	672.00	0.00	8.94	8.94	2.2%
2. Maintenance	0.00	1,691.09	1,691.09	0.00	22.49	22.49	5.7%
Subtotal (B)	0.00	2,363.09	2,363.09	0.00	31.42	31.42	7.9%
Total Base Cost	2,460.99	27,431.46	29,892.45	32.73	364.78	397.51	100.0%
C. Contingencies							
1. Physical ^c	138.76	1,254.04	1,392.29	1.85	14.82	16.67	4.6%
2. Price ^d	133.98	5,100.66	5,234.64	1.78	16.45	18.23	4.9%
Subtotal (C)	272.74	6,354.69	6,627.43	3.63	31.27	34.89	9.5%
D. Financial Charges During Implementation^e							
1. Interest during construction	600.31	0.00	600.31	7.98	0.00	7.98	2.2%
2. Commitment charges	112.99	0.00	112.99	1.50	0.00	1.50	0.4%
Subtotal (D)	713.31	0.00	713.31	9.49	0.00	9.49	2.6%
Total Project Cost (A+B+C+D)	3,447.03	33,786.15	37,233.18	45.84	396.05	441.89	112.1%

Notes: Numbers may not sum precisely because of rounding.

^a Includes taxes and duties of \$42.59 million. Such amount does not represent an excessive share of the project cost.

^b In 2020 prices as of 4 August 2020.

^c Physical contingencies computed at 5.0% for civil works.

^d Price contingencies based on ADB cost escalation factors. Includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.

^e Interest during construction for the OCR loan(s) has been computed at the 5-year US dollar fixed swap rate plus an effective contractual spread of 0.50% and maturity premium of 0.10%. Commitment charges for the OCR loan are 0.15% per year to be charged on the undisbursed loan amount.

Source: Asian Development Bank estimates.

D. Allocation and Withdrawal of Loan Proceeds

Table 9: Allocation and Withdrawal of Loan Proceeds

No.	Item	Total Amount Allocated for ADB Financing (\$) Category	Basis for Withdrawal from the Loan Account
1	Civil Works	299,800,000	81% of total expenditure claimed*
2	Consulting services	200,000	100% of total expenditure claimed*
Total		300,000,000	

* Inclusive of taxes and duties imposed within the territory of the Borrower.

E. Detailed Cost Estimates by Financier

Table 10: Cost Estimates by Financier
(\$ million)

Item	ADB		Government		Total Cost	
	Amount	% of cost category	Amount	% of cost category	Amount	Taxes and Duties
A. Investment Costs^a						
1. Civil works	299.80	81.2%	69.44	18.8%	369.25	39.20
2. Consulting Services	0.20	100.0%	0.00	0.0%	0.20	0.02
Subtotal (A)	300.00	81.2%	69.44	18.8%	369.45	39.22
B. Recurrent Costs						
1. Project Administration	0.00	0.0%	7.98	100.0%	7.98	0.96
2. Maintenance	0.00	0.0%	20.08	100.0%	20.08	2.41
Subtotal (B)	0.00	0.0%	28.06	100.0%	28.06	3.37
Total Base Cost (A+B)	300.00	75.5%	97.50	24.5%	397.51	42.59
C. Contingencies						
1. Physical ^b	0.00	0.0%	16.67	100.0%	16.67	0.00
2. Price ^c	0.00	0.0%	18.23	100.0%	18.23	0.00
Subtotal (C)	0.00	0.0%	34.89	100.0%	34.89	0.00
D. Financial Charges During Implementation^d	0.00	0.0%	9.49	100.0%	9.49	0.00
Total Project Cost (A+B+C+D)	300.00	67.9%	141.88	32.1%	441.89	42.59
% Total Project Cost		67.9%		32.1%	100.0%	

ADB = Asian Development Bank.

Note: Numbers may not sum precisely because of rounding.

^a August 2020 prices: ₹75.2 = \$1.00.

^b Physical contingencies computed at 5.0% for civil works.

^c Price contingencies based on ADB cost escalation factors. Includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.

^d Interest during construction for the OCR loan(s) has been computed at the 5-year US dollar fixed swap rate plus an effective contractual spread of 0.50% and maturity premium of 0.10%. Commitment charges for the OCR loan are 0.15% per year to be charged on the undisbursed loan amount.

Source: Asian Development Bank estimates.

F. Detailed Cost Estimates by Outputs

Table 11: Detailed Cost Estimates by Outputs
(\$ million)

Item	Total Cost ^a	Output 1: Conditions and safety of selected rural roads improved and maintained		Output 2: Capacity development of rural road agency and awareness among road users in the State enhanced	
		Amount	% of cost category	Amount	% of cost category
A. Investment Costs^b					
1. Civil works	365.86	365.86	100.0%	0.00	0.0%
2. Consulting Services	0.22	0.00	0.0%	0.22	100.0%
Subtotal (A)	366.08	365.86	99.9%	0.22	0.1%
B. Recurrent Costs					
1. Project Administration	8.94	0.00	0.0%	8.94	100.0%
2. Maintenance	22.49	22.49	100.0%	0.00	0.0%
Subtotal (B)	31.42	22.49	71.6%	8.94	28.4%
Total Base Cost	397.51	388.35	97.7%	9.16	2.3%
C. Contingencies					
1. Physical ^c	16.67	16.66	99.9%	0.01	0.1%
2. Price ^d	18.23	18.22	99.9%	0.01	0.1%
Subtotal (C)	34.89	34.87	99.9%	0.02	0.1%
D. Financial Charges During Implementation^e					
1. Interest During Construction	7.98	7.98	99.9%	0.00	0.1%
2. Commitment Charges	1.50	1.50	99.9%	0.00	0.1%
Subtotal (D)	9.49	9.48	99.9%	0.01	0.1%
Total Project Cost (A+B+C+D)	441.89	432.70	97.9%	9.19	2.1%
% Total Project Cost	100.0%		97.9%		2.1%

ADB = Asian Development Bank.

Notes: numbers may not sum precisely because of rounding.

^a Includes taxes and duties of \$42.59 million.

^b August 2020 prices: ₹75.2 = \$1.00.

^c Physical contingencies computed at 5.0% for civil works.

^d Price contingencies based on ADB cost escalation factors. Includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.

^e Interest during construction for the OCR loan(s) has been computed at the 5-year US dollar fixed swap rate plus an effective contractual spread of 0.50% and maturity premium of 0.10%. Commitment charges for the OCR loan are 0.15% per year to be charged on the undisbursed loan amount.

Source: Asian Development Bank estimates.

G. Detailed Cost Estimates by Year**Table 12: Detailed Cost Estimates by Year**
(\$ million)

Item	Total Cost ^a	2021	2022	2023	2024	2025	2026
		Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
A. Investment Costs^b							
1. Civil works	365.86	0.00	18.29	109.76	164.64	69.51	3.66
2. Consulting Services	0.22	0.00	0.00	0.00	0.00	0.00	0.22
Subtotal (A)	366.08	0.00	18.29	109.76	164.64	69.51	3.88
B. Recurrent Costs							
1. Project Administration	8.94	0.00	1.79	1.79	1.79	1.79	1.79
2. Maintenance	22.49	0.00	0.00	0.00	0.00	0.00	22.49
Subtotal (B)	31.42	0.00	1.79	1.79	1.79	1.79	24.28
Total Base Cost	397.51	0.00	20.08	111.54	166.42	71.30	28.16
C. Contingencies^c	34.89	0.00	1.05	8.16	15.31	7.86	2.51
Financial Charges							
D. During Implementation^d	9.49	0.45	0.51	0.94	1.89	2.72	2.99
Total Project Cost (A+B+C+D)	441.89	0.45	21.64	120.64	183.62	81.88	33.65
% Total Project Cost	100.0%	0.1%	4.9%	27.3%	41.6%	18.5%	7.6%

Note: Numbers may not sum precisely because of rounding.

^a Includes taxes and duties of \$42.59 million.

^b August 2020 prices: ₹75.2 = \$1.00.

^c Physical contingencies computed at 5.0% for civil works. Price contingencies based on ADB cost escalation factors. Includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.

^d Interest during construction for the OCR loan(s) has been computed at the 5-year US dollar fixed swap rate plus an effective contractual spread of 0.50% and maturity premium of 0.10%. Commitment charges for the OCR loan are 0.15% per year to be charged on the undisbursed loan amount.

Source: Asian Development Bank estimates.

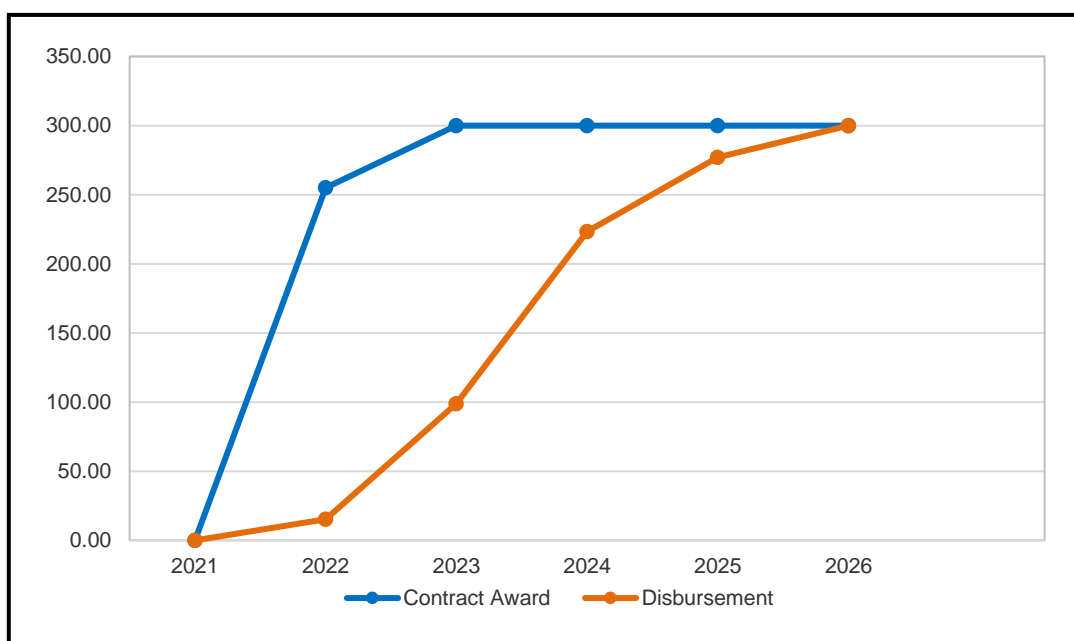
H. Contract Award and Disbursement S-Curve

Table 13: Contract Awards and Disbursement Baseline Projections
(\$ million)

Year	Contract Awards					Disbursements				
	Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total
2021	0.00	0.00	0.00	45.00	45.00	0.00	0.00	0.00	0.00	0.00
2022	60.00	60.00	60.00	30.00	210.00	0.00	0.00	7.59	7.59	15.17
2023	15.00	15.00	15.00	0.00	45.00	12.00	12.00	29.80	29.80	83.61
2024	0.00	10.00	0.00	0.00	0.00	30.00	30.00	32.34	32.34	124.67
2025	0.00	0.00	0.00	0.00	0.00	13.37	13.37	13.37	13.37	53.50
2026						5.76	5.76	5.76	5.76	23.05
TOTAL	300.00					TOTAL	300.00			

Source: Asian Development Bank.

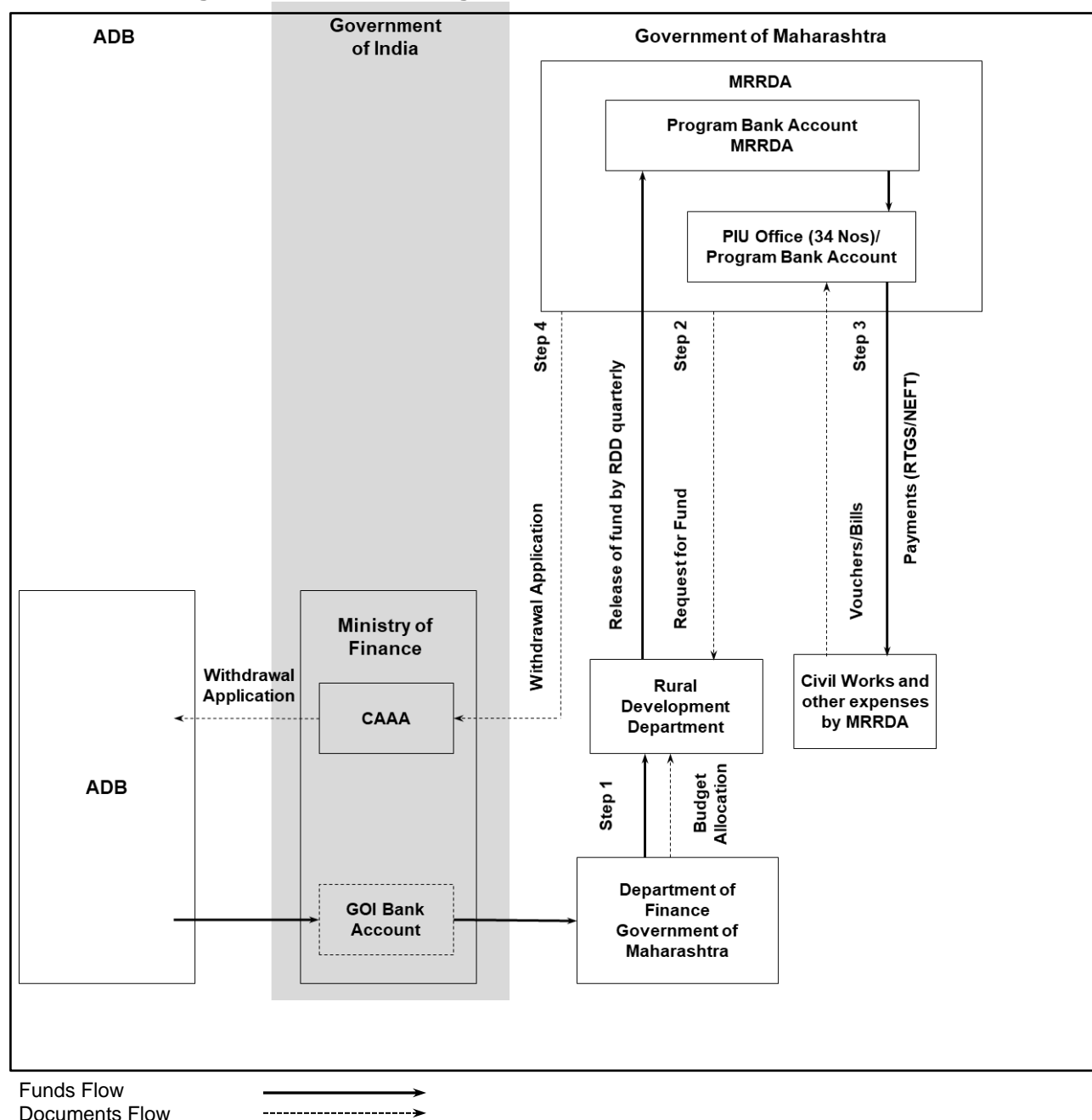
Figure 2: Contract Award and Disbursement S-Curve



I. Fund Flow Diagram

10. The state government will provide MRRDA with sufficient budget to finance the project expenditures. Subsequently, MRRDA will claim the share of expenditures to be covered by ADB on a reimbursement basis by submitting withdrawal applications through the borrower to ADB. ADB will pay the borrower out of the loan, and the borrower will channel the funds to the state government.

Figure 3: Fund Flow Diagram on Disbursement/Reimbursement



ADB = Asian Development Bank, CAAA = Controller of Aid Accounts and Audit, GOI = Government of India, MRRDA = Maharashtra Rural Road Development Association, NEFT = national electronic funds transfer, RDD = Rural Development Department, RTGS = real time gross settlement.

V. FINANCIAL MANAGEMENT

A. Financial Management Assessment (FMA)

11. The FMA was conducted in 2019 and updated in March 2020, in accordance with Financial Due Diligence: a Methodology Note, and Technical Guidance Notes (ADB).⁹ The FMA has reviewed the capacity of MRRDA, which will implement the project, including fund flow arrangements, governance, staffing, budgeting, accounting and financial reporting systems, internal control procedures, financial information systems, and internal and external audit arrangements.

12. The State of Maharashtra, acting through MRRDA, will be the executing agency. MRRDA has considerable experience in implementing rural road development programs including the PMGSY and MMGSY as well as the ongoing ADB-assisted project. Under the project, MRRDA through its project management unit (PMU) will coordinate and oversee the financial management activities undertaken by the six regional offices and the 34 PIUs located in the districts.

13. The FMA found that MRRDA has adequate financial management capacity to: (i) record the required financial transactions, (ii) provide reliable annual financial statements and audit reports in a timely manner, (iii) safeguard the financial assets and (iv) use the statement of expenditure (SOE) procedure under ADB's disbursement procedures up to a threshold of USD 200,000 for each expenditure item. However, the assessment also identified the following risks: (i) insufficient number of financial staff in the PMU, (ii) limited experience in ADB procedures and reporting requirements, and (iii) decentralized flow of funds to the regions. As a result, the overall financial management risk is assessed as *moderate*.

14. The identified risks will be mitigated by: (i) hiring an FM expert to support the PMU, (ii) ensuring continuous training in ADB's systems and procedures, (iii) ensuring quarterly financial reporting and quarterly internal audits, as well as (iv) adopting project specific FM procedures. Moreover, MRRDA will maintain separate books of accounts for the additional financing project and the project financial statements will be audited annually by an auditor acceptable to ADB, following auditing standards acceptable to ADB.

Table 14: Financial Management and Internal Control Risk Assessment

Risk	Risk Assessment and Risk Description	Mitigation Measures or Action Plans
1. Country-specific risks	M	– Not applicable.
2. Entity-specific Risks	M – MRDDA has limited experience in implementing ADB financed projects	– MRRDA is a legally registered society. It is independent in its function under the governing body. MRRDA has experience in implementing PMGSY of the Government of India aided projects and MMGSY of the State Government of Maharashtra projects. MRDDA is also in early stages of implementing ADB-financed MRCIP.

⁹ ADB. 2015. [Financial Due Diligence: A Methodology Note](#). Manila.

Risk	Risk Assessment and Risk Description	Mitigation Measures or Action Plans
3. Project-specific Risks	M – Large number of contracts in remote locations	– The works are monitored by 34 PIUs which have already been established.
Overall Inherent Risk M		
Control Risk		
1. Implementing Entity	M – MRRDA has limited experience in implementing ADB-funded project.	– MRRDA will implement the project through its PMU. The FM arrangements of the PMU will be further strengthened as described below.
2. Fund Flow	S – Decentralized flow of funds. – Delay in release counterpart funds to the project.	– ADB's disbursement will follow reimbursement procedure and no ADB funds will be channeled to the PIUs. – All WAs will be prepared by the PMU and all supporting documentation will be kept centrally. MRRDA to ensure with the immediate release of the replenishment of funds from the State Government of Maharashtra for the funds received from ADB on reimbursement basis.
3. Staffing	S – Increased workload due to the project. – Lack of experience with ADB procedures and requirements.	– The capacity of the PMU to be strengthened by engaging a national FM expert exclusively to the ADB projects to support the PMU throughout the project life. – ADB to provide continuous training in ADB policies, systems, and procedures.
4. Accounting Policies and Procedures	M – The accounting policies and procedures require some supplemental guidance.	– PMGSY FM policies are in place and an ADB specific FM manual was developed as part of the ongoing project. The manual may need to be finetuned to consider the Additional Financing project to ensure ADB's requirements are met at all levels. – Chart of accounts to be updated for the additional financing project.
5. Internal Audit	M – The internal audit is conducted on semi-annual basis only. The internal audits are experiencing some delays due to the COVID-19 lockdowns.	– The internal audit firm engaged by the MRRDA to include the Additional financing in its audit plan and conduct audits on quarterly basis on and report to the audit review committee within 45 days after the reporting period. Quarterly audits need to be resumed as soon as the COVID 19-lock down is over. This needs to be monitored by ADB.

Risk	Risk Assessment and Risk Description	Mitigation Measures or Action Plans
6. External Audit	M – Delay in submission of the audit report.	– The statutory audit is carried out by the independent statutory auditor appointed from the panel approved by the CAG of India. A separate audit of the Additional Financing project financial statements to be conducted according to the ToRs agreed with DEA, CAG and ADB and the audit report to be submitted to ADB within 6 months after the end of the fiscal year.
7. Reporting and Monitoring	M – Frequency and timeliness of periodic financial reporting require strengthening.	– MRRDA to issue quarterly financial reports within 45 days after the reporting period in a format agreed with ADB, including physical vs financial progress and disbursement reports.
8. Information Systems	M – Information systems not used optimally.	– Regular use of ADB disbursement systems, including CPD and LFIS to reconcile project accounts with ADB disbursement records.
Overall Control Risk M		

H – High, S – Substantial, M – Moderate, L – Low.

ADB = Asian Development Bank, CAG = Comptroller and Auditor General of India, COVI-19 = corona virus disease, CPD = Client Portal for Disbursement, DEA = Department of Economic Affairs, FM = financial management, LFIS = Loan Financial Information Services, MMGSY = Mukhya Mantri Gram Sadak Yojana, MRRDA = Maharashtra Rural Road Development Association, PMGSY = Pradhan Mantri Gram Sadak Yojana, PIU = project implementation units, PMU = project management unit, MRCIP = Maharashtra Rural Connectivity Improvement Project, ToR = terms of reference.

15. The borrower and MRRDA have agreed to implement an action plan as key measures to address the deficiencies. The financial management action plan is provided in Table 15.

Table 15: Financial Management Action Plan

Key Risks and Agreed Action	Responsibility	Timeframe/ Status
Hire a national FM expert (financed under the ongoing MRCIP project) exclusively to the ADB project to support the PMU throughout the project life. Monitor the workload and engage an additional accountant to support the PMU for the period when the ongoing project and the AF project overlap and as required by the workload	MRRDA	Recruitment in progress. A consultant is being engaged as a stopgap. Continuous
Training to be provided in ADB policies and procedures, especially to the newly hired staff.	ADB	Provided in January 2020. Additional ones to follow as necessary.
Finetune the ADB specific FM procedures to take into account the Additional Financing project as required to ensure ADB's requirements are met at all levels. ^a	MRRDA	A draft was prepared, and it will be formally adopted by September 2020.
Modify the chart of accounts to allow the project to track receipts and payments separately for the additional financing project.	MRRDA	Within 2 weeks from loan effectiveness

Key Risks and Agreed Action	Responsibility	Timeframe/ Status
File all project records and supporting documentation filed centrally, and back them up regularly.	PMU/MRRDA	Continuous
Issue quarterly financial reports in a format acceptable to ADB	PMU/MRRDA	within 45 days after the end of the reporting period.
Include the additional financing project in the scope of the Audit firm conducting quarterly internal audits and reporting to the audit review committee within 45 days after the end of the reporting period	MRRDA	Continuous
Adopt the CAG audit ToR's for the annual audit of the AF project and agree with the CAG on the audit timeline to ensure timely submission of the audit report and management letter separately for the Additional Financing project.	MRRDA	Within three months after loan effectiveness.

ADB = Asian Development Bank, AF = additional financing, CAG = Comptroller and Auditor General of India, FM = financial management, LFIS = Loan Financial Information Services, MRCIP = Maharashtra Rural Connectivity Improvement Project, MRRDA = Maharashtra Rural Road Development Association, PMGSY = Pradhan Mantri Gram Sadak Yojana, PMU = project management unit, TOR = terms of reference.

^a A draft ADB specific FM procedures were included in the PAM of the ongoing MRCIP project and has been adopted by the PMU.

16. Financial management risks and risk mitigation measures should be reviewed and updated throughout the duration of the project. For effective implementation of the project, it is required to follow up and review with MRRDA the implementation status of the recommendations on financial management.

B. Disbursement

1. Disbursement Arrangements for ADB Funds

17. The loan proceeds will be disbursed in accordance with ADB's *Loan Disbursement Handbook* (2017, as amended from time to time),¹⁰ and detailed arrangements agreed upon between the government and ADB. Online training for project staff on disbursement policies and procedures is available.¹¹ Project staff are encouraged to avail of this training to help ensure efficient disbursement and fiduciary control.

18. MRRDA through its PMU will be responsible for (i) preparing disbursement projections, (ii) requesting budgetary allocations for counterpart funds, (iii) collecting all supporting documents, and (iv) preparing and sending withdrawal applications to ADB.

19. **Statement of expenditure (SOE) procedure.**¹² The SOE procedure may be used for reimbursement of eligible expenditures. The ceiling of the SOE procedure is the equivalent of \$200,000 per individual payment. Supporting documents and records for the expenditures claimed under the SOE should be maintained and made readily available for review by ADB's disbursement and review missions, upon ADB's request for submission of supporting documents on a sampling basis, and for independent audit. Reimbursement of individual payments in excess

¹⁰ The handbook is available electronically from the ADB website <http://www.adb.org/documents/loan-disbursement-handbook>.

¹¹ Disbursement eLearning. http://wpqr4.adb.org/disbursement_elearning.

¹² SOE forms are available in Appendix 7B and 7D of ADB's *Loan Disbursement Handbook* (2017, as amended from time to time).

of the SOE ceiling should be supported by full documentation when submitting the withdrawal application to ADB.

20. Before the submission of the first withdrawal application, the borrower should submit to ADB sufficient evidence of the authority of the person(s) who will sign the withdrawal applications on behalf of the government, together with the authenticated specimen signatures of each authorized person. The minimum value per withdrawal application is stipulated in the *Loan Disbursement Handbook* (2017, as amended from time to time). Individual payments below such amount should be paid by MRRDA and subsequently claimed to ADB through reimbursement, unless otherwise accepted by ADB. The borrower should ensure sufficient category and contract balances before requesting disbursements. Use of ADB's Client Portal for Disbursements (CPD) system is mandatory for submission of withdrawal applications to ADB.¹³

2. Disbursement Arrangements for Counterpart Fund

21. The government counterpart funds will be sufficiently allocated in the budget annually since the project is on reimbursement procedure. The MRRDA will be responsible for preparing disbursement projections and requesting budgetary allocations for the project, including counterpart funds to the Rural Development Department of the state government. All disbursements under government financing will be carried out in accordance with the regulations of the Government of India and the state government and accounting principles acceptable to ADB.

C. Accounting

1. Financial Management Capacity

22. In order to ensure sufficient knowledge in ADB's FM requirements, including procedures and related systems, the MRRDA will ensure that each financial staff assigned to the project undertake the following actions within the first three months working with the project:

- (i) Become aware of the ADB and national anticorruption policy and whistle blowing mechanisms.
- (ii) Master loan/grant agreement including the loan covenants and the relevant sections of the Project Administration Manual, as well as the ADB loan disbursement handbook
- (iii) Obtain user/reader rights (as required) to ADBs systems including: the Client Portal for Disbursement and the Loans and Grants information Service (LFIS).
- (iv) Familiarize themselves with ADB's reporting requirements including the agreed format for project financial statements and the Terms of Reference for Audit of ADB-assisted Projects (Attachment A), agreed with the Comptroller and Auditor General of India, the DEA and ADB.

23. The MRRDA will maintain separate books and records by funding source for all expenditures incurred as part of the project on cash basis of accounting following accounting principles and practices prescribed by the Government of India's accounting laws and regulations. MRRDA will prepare project financial statements in accordance with the government's accounting laws and regulations which are consistent with international accounting principles and practices.

¹³ The CPD facilitates online submission of withdrawal application to ADB, resulting in faster disbursement. The forms to be completed by the Borrower are available online at <https://www.adb.org/documents/client-portal-disbursements-guide>.

Project financial statements shall include at a minimum, a statement of receipts and payments with accompanying notes and schedules. Template of financial statements provided in the standard terms of reference for the audit of ADB-assisted projects, agreed with the CAG of India, Department of Economic Affairs, and ADB, are to be referred to as a guide. Accordingly, the project financial statements include the following:

- (i) Statement of cash receipts (by financing source) and payments (by expenditure category) for the current reporting period, past reporting period, and cumulative to date.
- (ii) Statement of expenditure by category and financier for the year/period end.
- (iii) Statement of advance/sub account;
- (iv) Statement of disbursement, disclosing all funds claimed from ADB by disbursement method, total expenditure claimed for the current reporting period, past reporting period, and cumulative to date. The notes of the financial statements should include a detailed list of all withdrawal applications submitted to, and the amounts paid by ADB as follows: (a) WA number; (b) the amount claimed and currency; (c) time period in which expenditures were incurred; (d) date submitted; (e) disbursement method; and (f) the amount disbursed by ADB.
- (v) Disbursement claimed under SOE procedure for the reporting period.
- (vi) Statement of appropriation vs. actual expenditures. Any significant variances must be duly explained.
- (vii) Expenditure by output/components for the current reporting period, past reporting period, and cumulative to date.
- (viii) Notes to the Financial Statements disclosing the used accounting standards and policies and other relevant information and explanations.

24. The expenditure categories and outputs used in the financial reports will be aligned with the expenditure categories of the PAM.

25. In order to provide timely information to ADB on the project's financial progress and the status of financial management, the MRRDA through its PMU, will prepare consolidated financial information to be included in the quarterly progress reports (QPR) to be submitted to ADB within 45 days after the end of the quarter. The consolidated financial information in the QPRs will include at least the following financial information (Attachment B):

- (i) Cumulative contract awards financed by the ADB loan, and counterpart funds (commitment of funds to date), and comparison with time-bound projections (targets – for ADB financing compare the actual contract awards with the contract award curve included in the PAM). Any significant variances between planned and actual contract awards are to be explained.
- (ii) Cumulative disbursements from the ADB loan, and counterpart funds (expenditure to date), and comparison with time-bound projections (targets – for the ADB financing compare the actual disbursement with the disbursement projections as per the S curve included in the PAM). Any significant variances between planned and actual disbursements are to be explained.
- (iii) Re-estimated costs to completion, need for reallocation within ADB loan categories, and whether an overall project cost overrun is likely.
- (iv) Reconciliation of project records and ADB disbursement records (LFIS/GFIS) for the financial year to date and cumulative from project inception to end of the

reporting period. Any discrepancies and outline follow-up actions required are to be explained.

- (v) Variance analysis including budget vs actual expenditures and physical vs financial progress, with significant deviations explained.
- (vi) Summary of the status of financial covenants (if any) as outlined in the loan and project agreement.
- (vii) Summary of the status of financial management in the project including: (a) any problems in the existing FM arrangements and/or flow of funds, and (b) any significant changes occurred during the reporting period (e.g. FM staff turnover, implementation of new financial systems, emerging FM related risks, etc.).
- (viii) Summary of the status of: (a) the FM action plan outlined in the PAM; (b) recommendations and actions raised by ADB as part of the APFS/AEFS review (if any); and (c) FM related recommendations agreed during ADB review missions (if any).
- (ix) Summary of the status of past audit observations (resolved/pending).

26. Detailed financial reports may be included as an annex to the progress report as agreed with ADB.

2. Reconciliations and Variance analysis

27. To ensure the correctness and completeness of the project's disbursement records, MRRDA shall conduct quarterly reconciliation of the project accounts, and ADB's disbursement data available in the LFIS.

28. Any discrepancies and/or reconciliation items will be promptly followed-up on to ensure these are resolved in a prompt manner. Furthermore, any differences between amounts claimed and the amounts disbursed will be disclosed and explained in the WA register, in the quarterly progress reports and in the notes of the project financial statements.

29. Moreover, the MRRDA will conduct variance analysis of at least on a quarterly basis, examining the differences between budgeted vs. actual expenditures as well as financial vs. physical progress. The variance analysis will pay particular attention to:

- (i) significant deviations from the budgeted engineer's estimate;
- (ii) significant deviations between financial and physical progress;
- (iii) significant delays on (planned vs. reported) physical and/or financial progress; and
- (iv) inconsistent and/or delayed progress reporting.

30. Any significant variances, delays or deviations etc. shall be promptly followed-up on and explained in the QPRs and in the notes of the project financial statements.

D. Auditing and Public Disclosure

31. MRRDA will cause the detailed consolidated project financial statements to be audited by an auditor appointed from the panel approved by the CAG of India and in accordance with the audit standards issued by the CAG and Institute of Chartered Accountants of India (ICAI), which are acceptable to ADB. The audited financial statements will be submitted in the English language to ADB within 6 months of the end of the fiscal year by the executing agency.

32. The audit report for the project financial statements will include a management letter and auditor's opinions, which cover (i) whether the project financial statements present an accurate and fair view or are presented fairly, in all material respects, in accordance with the applicable financial reporting standards; and (ii) whether the proceeds of the loan were used only for the purpose of the project. From the second audit onwards, the management letter will include a follow-up on the implementation status of previous audit recommendations (where applicable). In case the auditor does not issue a management letter, the auditor must issue a confirmation that no internal control issues were identified as part of the audit.

33. Compliance with financial reporting and auditing requirements will be monitored by review missions and during normal program supervision, and followed up regularly with all concerned, including the external auditor.

34. The state government and MRRDA have been made aware of ADB's approach to delayed submission, and the requirements for satisfactory and acceptable quality of the audited project financial statements.¹⁴ ADB reserves the right to require a change in the auditor (in a manner consistent with the constitution of the borrower), or for additional support to be provided to the auditor, if the audits required are not conducted in a manner satisfactory to ADB, or if the audits are substantially delayed. ADB reserves the right to verify the project's financial accounts to confirm that the share of ADB's financing is used in accordance with ADB's policies and procedures.

35. Public disclosure of the audited project financial statements, including the auditor's opinion on the project financial statements, will be guided by ADB's Access to Information 2018.¹⁵ After the review, ADB will disclose the audited project financial statements and the opinion of the auditors on the project financial statements no later than 14 days of ADB's confirmation of their acceptability by posting them on ADB's website. The Management letter, additional auditor's opinions, and audited entity financial statements will not be disclosed.¹⁶

36. In addition to the external audit described above, an audit firm will be hired to conduct quarterly internal audits and reporting to the audit committee within 45 days after the end of the reporting period. The scope of the internal audit will focus in particular on the financial activities carried out the regional offices and PIUs. The audit committee will consider key issues pointed out by the auditors and ensure timely resolution of observations by project management.

¹⁴ ADB's approach and procedures regarding delayed submission of audited project financial statements:

- (i) When audited project financial statements are not received by the due date, ADB will write to the executing agency advising that (a) the audit documents are overdue; and (b) if they are not received within the next 6 months, requests for new contract awards and disbursement such as new replenishment of advance accounts, processing of new reimbursement, and issuance of new commitment letters will not be processed.
- (ii) When audited project financial statements are not received within 6 months after the due date, ADB will withhold processing of requests for new contract awards and disbursement such as new replenishment of advance accounts, processing of new reimbursement, and issuance of new commitment letters. ADB will (a) inform the executing agency of ADB's actions; and (b) advise that the loan may be suspended if the audit documents are not received within the next 6 months.
- (iii) When audited project financial statements are not received within 12 months after the due date, ADB may suspend the loan.

¹⁵ ADB. 2018. *Access to Information Policy*. Manila.

Available: <https://www.adb.org/documents/access-information-policy>

¹⁶ This type of information would generally fall under Access to Information Policy exceptions to disclosure.

VI. PROCUREMENT AND CONSULTING SERVICES

A. Procurement Capacity Assessment of MRRDA

1. Summary of the Procurement Assessment

37. Maharashtra is one of the states in India which has become a part of ADB funding for the rural roads in India as MMGSY. MMGSY is on similar lines as PMGSY. Having completed the PMGSY program under PMGSY 1 and in the process of completing the roads under PMGSY 2, the state has programed MMGSY for undertaking 30,000 km of rural roads in 5 years from the year 2015–2016 to 2019–2020. MMGSY has already completed upgrading around 12,000 km of roads under this scheme. All procurements for the civil works, for the consulting services contracts and maintenance beyond five years of completion of rural roads are being carried out as mandated by the Government of India by resorting to e-procurement in all the states including Maharashtra with effect from 1 April 2009.

2. Risks and Recommendations for Mitigation of Risks

38. The state has adequate experience in e-procurement for about a decade. For the ongoing project, certain modifications were incorporated in the standard bidding document (SBD) to include social safeguards, environment and road safety aspects.¹⁷ These will also be applied for packages under the additional financing project. The performance in procurement for the ongoing project was exceptionally good in that all the 195 contracts put to bid have been awarded in a short time and the civil works are under progress. However, this additional financing project is the first time that bridges have been included in the civil works apart from short span bridges in ongoing project. Long bridges are introduced into the additional financing scope because of the heavy damages incurred during unprecedented floods in Maharashtra experienced in the third quarter of 2019. During these floods, rural connectivity was severely affected and a request was made to ADB by the Government of Maharashtra to include the longer bridges in the scope of work and also considering the anticipated impacts of climate change. Though the procurement risks for these bridges are considered low ADB will be proactive to ensure the proper uptake and understanding by all concerned, including:

- (i) prior review of the first bidding documents for roads and bridges of six regions;
- (ii) prior reviews of technical and financial evaluation of the above packages; and
- (iii) post review (sampling) after award of 20% and 70% of total contracts for roads and bridges separately. Post review will be conducted on sample basis of 34 and 30 contract packages for roads and bridges respectively, one from each PIU.

39. The project will continue to take all necessary steps to ensure that procurement capacity built into the PMGSY program is maintained throughout the implementation of the project. All these measures will reduce anticipated risks.

B. Advance Contracting and Retroactive Financing

40. All advance contracting and retroactive financing will be undertaken in conformity with ADB's *Procurement Policy* (2017, as amended from time to time)¹⁸ and ADB's *Procurement Regulations for ADB Borrowers: Goods, Works, Nonconsulting and Consulting Services* (2017,

¹⁷ Loan 3805-IND: Maharashtra Rural Connectivity Improvement Project (MRCIP), which ADB financing amounts to \$200 million.

¹⁸ Available at: <https://www.adb.org/documents/adb-procurement-policy>.

as amended from time to time).¹⁹ The issuance of invitations to bid under advance contracting and retroactive financing will be subject to ADB approval. The borrower, executing and implementing agencies have been advised that approval of advance contracting and retroactive financing does not commit ADB to finance the project.

41. Retroactive financing will be provided to finance expenditures incurred under the project before the effectiveness date, but not earlier than 12 months before the date of signing of the Loan Agreement in connection with works, subject to a maximum amount equivalent to 20% of the loan amount.

Table 16: Procurement Advance Actions

Activity	Responsible	Due date	Comment
Improving rural roads (268 OCB contracts)			
Submission of the first bidding document for road packages of each region (prior review)	MRRDA	28 Apr 2020	Completed
Approval of the first bidding documents for road packages (prior review)	ADB	1 Jul 2020	Completed
Advertisement of invitation for bids	MRRDA, ADB	Oct/Nov 2020	Completed
The first technical bid evaluation reports submission to ADB (prior review)	MRRDA	Nov/Dec 2020	Completed
The first financial bid evaluation reports submission to ADB (prior review)	MRRDA	Jan/Feb 2021	Completed
Government approvals	RDD	Q2 2021	Depending on COVID-19
Contract acceptance letter / award	MRRDA	Q2 2021	Depending on COVID-19

ADB = Asian Development Bank, MRRDA = Maharashtra Rural Road Development Association, OCB = open competitive bidding, RDD = Rural Development Department, RFP = request for proposal.

Source: Asian Development Bank.

C. Procurement of Goods, Works, and Consulting Services

42. All procurement of goods and works financed wholly or in part by ADB will be undertaken in accordance with ADB's *Procurement Policy* (2017, as amended from time to time) and ADB's *Procurement Regulations for ADB Borrowers: Goods, Works, Nonconsulting and Consulting Services* (2017, as amended from time to time).

43. For the road construction or upgrading and construction of bridges, the additional financing project will be following open competitive bidding (OCB) procurement procedure based on item unit rates similar to the one approved by ADB for the ongoing project.²⁰ SBD (improved in agreement with ADB) and electronic mode of procurement will be used for all road and bridge construction contracts and will be advertised locally.²¹ Bidders will be post-qualified by applying single-stage, two-envelope bidding procedure. Contracts will include civil works and post-construction maintenance for 5 years. Further details are specified in the procurement plan provided in Attachment C.

¹⁹ Available at: <https://www.adb.org/documents/procurement-regulations-adb-borrowers>.

²⁰ ADB. 2019. *Report and Recommendation of the President to the Board of Directors: Proposed Loan and Technical Assistance to India for the Maharashtra Rural Connectivity Improvement Project*. Manila.

²¹ Approval of using e-Procurement System installation in Maharashtra for use in ADB-financed projects was granted by ADB on 29 April 2019.

44. The following approval procedures will be adopted for road construction or upgrading, and the same procedure will also be adopted for bridge construction separately intended for financing under the project:

- (i) ADB will review the first bidding document for one contract package from each region (i.e. six packages) prior to the start of procurement under the project;
- (ii) ADB will review technical bid evaluation reports for the above six civil work contract packages prior to the financial bid opening (summary reporting form on technical bid evaluation is in Attachment D);²²
- (iii) Upon ADB clearance of the technical bid evaluation reports, MRRDA will proceed with the financial bid opening and evaluation and submit financial bid evaluation reports for the same six civil work contract packages to ADB for clearance before the contract award (summary reporting form on financial bid evaluation is in Attachment E);²³
- (iv) If ADB finds financial bid evaluation for the six contract packages satisfactory, MRRDA will proceed with evaluating and awarding of subsequent contract packages under the project without prior ADB review and approval (sample summary sheet of bid evaluation and contract award is in Attachment F);
- (v) At the time of each contract award, MRRDA will provide ADB with a certified summary sheet reporting on the main aspects of the bid evaluation and contract award (reporting form is in Attachment G);
- (vi) The procurement processes and contract awards will be reviewed at random for each PIU upon the award of at least 20% and 70% of contracts; and
- (vii) In these cases, the following guidelines will apply:
 - a. The borrower must retain all documentation with respect to each contract where post review (sampling) was adopted during project implementation and for at least 1 year after the project closing date. This documentation generally includes advertisements or procurement notices (such as the request for expressions of interest or invitation for prequalification, and letter of invitation to consultants or invitation for bids); prequalification documents; prequalification or shortlisting evaluation reports; bidding documents or RFP; bids or proposals, including any amendments and clarifications; evaluation reports (including the analysis of the respective proposals and recommendations for award); the original signed contract; and documents concerning any bidding-related complaints.
 - b. Master copies of electronic documents, if applicable, must be retained in print form, suitably authenticated by the issuing agency by signature, stamp, or other features acceptable to ADB. Alternatively, audit trails can be made available in case an electronic procurement system was used and documents are in electronic format.
 - c. The borrower shall furnish the required documentation to ADB personnel or its consultants assigned to conduct post review (sampling) during the project review or post review mission(s). If post review is not completed within 6 months after receipt of documents, the borrower may assume that ADB has no objection to the award of contract.

²² Each RCIP region may start technical bid evaluation for all contract packages but will not proceed with the financial bid opening until ADB clearance for the technical bid evaluation reports for the five civil work contract packages is obtained.

²³ Each RCIP region may proceed financial bid opening for all contract packages but will not proceed with the contract award until ADB clearance for the financial bid evaluation reports for the five civil work contract packages under is obtained.

- d. If ADB determines that the goods, works, or services were not procured in accordance with the agreed procedures as reflected in the procurement plan, or an action by a borrower amounted to noncompliance, it may take appropriate action consistent with paras. 1.29 and 1.30 of the 2017 Procurement Regulations and the Guidance Note on Noncompliance in Procurement.
- e. Since noncompliance may mean refunding if amounts have been disbursed, post review (sampling) should be conducted in a timely manner so that corrective measures may be taken.

45. Individual consultants will be engaged to support MRRDA in conducting impact evaluation end-line surveys and analysis. About 15 person-months of international and national consultants will be required for this.

D. Procurement Plan

46. The procurement plan is in Attachment C and describes the threshold and review procedures of all procurement of goods, works and consulting services to be undertaken for the project. The procurement plan will be updated at least once every 18 months or whenever change in the procurement arrangements is required and agreed.

VII. SAFEGUARDS

47. **Prohibited investment activities.** Pursuant to ADB's Safeguard Policy Statement (2009) (SPS), ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth at Appendix 5 of the SPS.

A. Environment Safeguard

48. The project is classified as *category B* in accordance with the classification system of the SPS. A single initial environmental examination (IEE) report was prepared for all 1,100 rural roads and 230 bridges. Key environmental impacts and risks from improving the rural roads and bridges are identified by means of environmental checklist and transect walks. Aside from both, Integrated Biodiversity Assessment Tool and government reports were used for the environment assessments and prepare the initial environmental examination. The results show that there are number of protected and key biodiversity areas in the State of Maharashtra, but none is overlapping with the target rural roads and bridges. None of the proposed rural roads and bridges are located near cultural heritage, wildlife protected areas and buffer zones, and natural habitats. No historical places and religious structures will be affected. All anticipated impacts are site specific and temporary. Anticipated environmental impacts are typical to road improvement activities such as the generation of dust and noise from vehicles and mix plants, minor waterway sedimentation, and occupational health and safety hazards. To ensure the effective implementation of safeguards requirements, MRRDA will be supported by environmental experts at the regional level. A functioning GRM has been established under the ongoing project and the same GRM will be used for the additional financing. Similar to the ongoing project, safeguard monitoring reports will be on an annual basis for both construction and operation stages during the project period until project completion report is issued by ADB.

49. **Implementation Arrangements for Environment Safeguards.** The responsibilities of various agencies and parties for implementing environment safeguards are provided below.

50. MRRDA's PMU is responsible for the overall compliance of the project to loan agreement, SPS, and all applicable laws and rules of the Government of India. The PMU will be supported by 6 environment specialists, and 34 district engineers (Executive Engineers) to ensure project implementation as stated in the PAM and environmental management plan (EMP).

51. The **PMU** will:

- (i) comply with all environment-related statutory requirements of the project.
- (ii) review and approve the road specific EMPs including its subplans prepared by the contractors with the Environment Specialists and district engineers;
- (iii) be overall responsible for the timely endorsement and signing of key documents and forwarding to government agencies for the processing of clearances and permits including (but not limited to):
 - a. forest clearance
 - b. tree cutting permit
 - c. Other relevant permits and licenses
- (iv) ensure the preparation, review, and submission of annual (or as stated on the loan agreement) environment monitoring reports (EMR) for disclosure on ADB and MRRDA websites;
- (v) conduct training and workshops on environmental management, and site induction of all staff and workers involved in the construction. The staff and workers will include all district engineers, and staff and laborers of all contractors;

- (vi) guided by the IEE submitted to ADB, implement effective environmental monitoring during pre-construction, construction and operation phases; this includes, but is not limited to, inspections, review of monitoring forms prepared by the contractors, inspection protocols for the Environment Specialists, and documentation of the issues received through the grievance redress mechanism (GRM);
- (vii) take proactive and timely measures to address any environment safeguards related challenges at the national or division/district levels such as (i) delays in processing of clearances during pre-construction stage and (ii) significant grievances during construction and operation stages);
- (viii) review and approve, for submission to MRRDA and ADB, periodic environmental monitoring reports prepared by the Environment Specialists and PIU; lead in complying with disclosure of periodic environmental monitoring reports; and
- (ix) review and approve corrective action plans (CAPs) for unanticipated environmental impact/s occurred during project implementation phase.
- (x) ensure GRM, as envisaged on the EMP, is in place at the early stage of project implementation.

52. **Environment Specialists.** Each of the MRRDA Regional Office will have a consultant Environment Specialist to support the Superintending Engineer and District Engineers in supervising the implementation of the EMP, and support the environmental monitoring plan (EMoP) preparations of the Contractor through the following:

- (i) in coordination with the contractor's environmental focal person (EFP), review and provide guidance to finalize the road-specific EMPs, which is taken from the general EMP and findings from more detailed survey;
- (ii) guide and review all sub-plans identified in the IEE and EMP to be prepared by the Contractor such as:
 - a. camp layout
 - b. waste/debris management plan
 - c. borrow area management plan
 - d. traffic management plan
 - e. Utility and community structure shifting plan
 - f. Health and safety plan
- (iii) conduct environmental site induction training to all contractors and PIUs to ensure understanding of the EMP and EMoP, national and state environmental laws and regulations requirements particularly on the required clearances and permits, training on occupational and community health and safety, timely mobilization of the Contractor's EFP, and review subplans required in the EMP and advise the District Engineer on their adequacy, who in turn, will instruct the Contractor to make necessary revisions;²⁴
- (iv) ensure and guide the Contractor to secure necessary permits and clearances such as the following:
 - a. permission for construction material quarrying
 - b. consent to operate hot mix plants, crushers, and batching plants
 - c. consent for disposal of sewage from labor camp
 - d. pollution under control for motor vehicles
 - e. Other relevant permits and clearances

²⁴ Site induction training includes but not limited to: (i) discussion and review of EMP and EMoP detailing how specific environmental risks associated with their Scope of Work will be managed legal compliance, inspection and audits, and progress tracking and reporting; (ii) environmental training and awareness needs shall be determined and documented via a training needs analysis prior to commencement; (iii) Health and Safety Awareness Course, which details general environmental awareness and specific performance requirements expected on site; and (iv) GRM.

- (v) ensure the EMoP template is adapted by the Contractor in the preparation of submission of self-monitoring reports;
- (vi) monthly site and follow-up inspection to ensure the veracity of the submitted monitoring reports and enforce the EMP and EMoP;
- (vii) prepare summary quarterly inspection reports from the periodic compliance inspection monitoring and environmental self-monitoring reports (prepared by the Contractor's EFP) for review and guidance of the PMU and PIUs;
- (viii) conduct compliance conference with the Contractor to discuss non-compliance and agree on corrective measures;
- (ix) advise the Contractor through the District Engineer how to comply with requirements to address non-compliances;
- (x) If there are any unanticipated environment impacts during project implementation, report apparent unanticipated impacts, prepare necessary corrective action plans and recommend mitigation measures, and update the IEE report;
- (xi) recommend to the PMU sanctions in case of recalcitrant contractors;
- (xii) Support the PMU and PIU to resolve issues received from the affected people.

53. The **PIU** will:

- (i) ensure the project roads and bridges, and all contractors obtain permits, licenses, etc. for activities such as the operation of asphalt plants, quarries, borrow areas etc. before the implementation of the respective construction activity;
- (ii) carry out regular field verification and review environmental compliances by the Contractor during project implementation, in coordination with the Environment Specialist and the Contractor's EFP;
- (iii) with the support from the Environmental Specialists, provide and record environmental observations during any site-visits that may include, but not limited to, excessive dust, loud noises, improper disposal of wastes, chemical/oil spills, camp hygiene, health and safety, and improper borrow area management; and
- (iv) in case of imminent danger to environmental quality, life, and properties that may result from poor environmental management plan implementation, immediately instruct the Contractor to cease and desist the construction activities that pose risk and conduct immediate containment and mitigation activities.
- (v) If there are any unanticipated environment impacts during project implementation, prepare necessary corrective actions, and reflect them in a CAP.

54. **Contractor.** The Contractor is the principal agent to implement the EMP and EMoP during the pre- and construction, and operation stages. Specifically, the Contractor will:

- (i) appoint the Contractor's EFP and attend the site induction workshop to be organized by the Environment Specialist;
- (ii) obtain necessary environmental license(s), permits etc. from relevant agencies as specified in the IEE, EMoP and this project administration manual for the associated facilities of the project road and bridge works such as quarries, wet mix plant, etc. prior to commencement of civil works contracts;
- (iii) as part of detailed survey, collect the baseline data on environmental quality before the start of physical works²⁵ and continue collection of environmental quality data (air quality, noise level, and water quality) as given in the EMoP during construction and operation;
- (iv) revise and finalize the site-specific EMP and EMoP including its subplans, as advised by the Environment Specialists, based on detailed road survey,

²⁵ Pre-construction monitoring report.

- (v) implement and document all mitigation measures in the EMP and EMoP;
- (vi) ensure that all workers, site agents, including site supervisors and management, participate in all environmental safeguard related training sessions;
- (vii) during the construction period, submit environmental self-monitoring reports to the District Engineer and Environment Specialists;
- (viii) conduct at least three (3) environmental inspections during the construction phase: (a) first report at pre-construction stage, (b) second report after three months of start of construction or on completion of 25% construction, and (c) Third report after ninth (9) months of start of construction or on completion of 75% of construction
- (ix) during the 5-year maintenance period, submit annual environmental monitoring reports to the PMU;
- (x) ensure compliance with environmental statutory requirements and contractual obligations;
- (xi) participate in resolving issues as a member of the grievance redress committee (GRC);
- (xii) respond promptly to grievances raised by the local community or any stakeholder and implement environmental corrective actions or additional environmental mitigation measures as necessary; and
- (xiii) based on the results of EMP monitoring, cooperate with the Environment Specialists to implement environmental corrective actions and corrective action plans, as necessary.
- (xiv) If there are any unanticipated environment impacts during project implementation, prepare necessary corrective actions, and reflect them in a CAP.

55. **ADB** is responsible for the following:

- (i) review IEE report and disclose the final reports on the ADB website as required;
- (ii) explain policy requirements and loan agreements to PMU and PIU;
- (iii) monitor implementation of the EMP through review missions;
- (iv) assist MRRDA, if required, in carrying out its responsibilities and in building capacity for safeguard compliance;
- (v) monitor overall compliance of the subprojects to this PAM; and
- (vi) if necessary, provide further guidance to MRRDA on the format, content, and scope of the IEE report and annual monitoring reports for submission to ADB.

B. Road Safety

56. The executing agency will ensure carrying out the road safety audits (RSAs) on the program roads during the design, construction and operation stages, following the procedures set out in the Rural Road Safety Manual, which was developed under ADB's TA (footnote 6). The project will strengthen MRRDA to manage and conduct the RSAs.

57. **Implementation Arrangements for Road Safety.** The responsibilities of various agencies and parties for implementing road safety are provided below.

58. MRRDA's PMU is responsible for the overall compliance with ADB's Road Safety Policy. The PMU will be supported by six Road Safety Specialists and 34 district engineers (executive engineers) to ensure project implementation complies with the PAM.

59. The PMU will:

- (i) ensure compliance with all road safety related issues/observations;

- (ii) ensure preparation, submission, and review of annual road safety monitoring reports;
- (iii) conduct training and workshops on road safety aspects to include site induction of all staff and workers involved in the construction. These include all district engineers, and staff and laborers of all contractors;
- (iv) carry out periodic field verification and review compliances by the Contractor during project implementation, in coordination with the Consultant; and
- (v) organize and conduct road safety awareness programs with the village community on the project road to enhance citizen engagement in road safety aspect.

60. **Road Safety Expert.** Each of the MRRDA Regional Office will have a consultant Road Safety Expert to support the Superintending Engineer and District Engineers in supervising the implementation of the road safety related components by the Contractor through the following:

- (i) conduct road safety audits and inspections at the different stages of the construction and post construction to flag out the road safety issues and suggest mitigation measures;
- (ii) review and train the PIU and Contractor staff to prepare and follow the traffic management plan to execute the construction work with safety;
- (iii) conduct training and workshop for all contractors and PIUs to ensure understanding of the Road safety;
- (iv) conduct road safety awareness sessions for the school students, parents and teachers in the schools along the project road and ensure 30% girls/female participation in such awareness sessions;
- (v) follow-up inspection to ensure the compliance of the submitted monitoring reports; and
- (vi) prepare summary quarterly, and annual monitoring reports from the periodic compliance inspection monitoring.

61. **Contractor.** The Contractor is the main executing agency to implement the findings of Road Safety Audits and Inspections during construction and post construction stages. Specifically, the Contractor will:

- (i) comply with the road safety audit report findings and do the corrective action on the field;
- (ii) prepare the traffic management plan and get it approved by the PIU;
- (iii) provide personal protective equipment to the workers at the construction site; and
- (iv) ensure that all workers, including site supervisors and management, participate in training sessions delivered.

C. Social Safeguards: Involuntary Resettlement and Indigenous Peoples

62. The project is categorized as C for involuntary resettlement. During project preparations, 100% of the project was screened for involuntary resettlement impacts. No involuntary land acquisition, physical or economic displacement is required for the project. If there are unanticipated impacts identified during project implementation, the borrower will prepare and implement a resettlement plan to address such impacts. In six road sections and six bridge approaches, strips of private land were voluntarily donated by titleholders to enable minor widening of the road. The safeguard screening confirms that donated land represents less than 5% of the owner's land holding. The land was donated on a voluntary basis as verified by an

independent third party. Details of the social safeguard screening along all roads are documented in the Social Safeguards Due Diligence Reports (SDDR).²⁶

63. The project is categorized as C for Indigenous Peoples. During project preparations 100% of the project was screened for impacts on Indigenous Peoples. The screening confirms that Indigenous Peoples (Scheduled Tribes) are present in the state as individual households living among broader communities rather than distinct communities. The project will not directly or indirectly affect the dignity, human rights, livelihood systems, or culture of indigenous peoples because the project works will not impact territories or natural or cultural resources that indigenous peoples own, use, occupy, or claim as an ancestral domain or asset. Details of the social safeguard screening are documented in the SDDR.

64. **Implementation Arrangements for Social Safeguards.** The responsibilities of various agencies and parties for (i) monitoring social safeguards, and (ii) implementation and monitoring of the gender action plan (GAP) are provided below.

65. The PMU is responsible for the implementation and monitoring of the project GAP and overall compliance with the SPS and all applicable laws and rules. The PMU will be supported by 6 Social and Gender Specialists (SGS) and 34 district engineers (executive engineers) to ensure project implementation complies with the PAM, Safeguard Due Diligence Guideline (SDDG), GAP, and SDDR.

66. **PMU and Social and Gender Specialists.** Each of the MRRDA Regional Offices will have an SGS to support the Superintending Engineer and District Engineers as indicated in para. 76 below in (i) supervising project implementation to ensure compliance with ADB's Safeguard Policy Statement and (ii) implementing and monitoring the GAP. PMU and SGS will be responsible for the following:

- (i) MRRDA and Contractor comply with all social safeguard related statutory requirements of the government and the SPS;
- (ii) assume overall responsibility for the timely endorsement and signing of key documents and forwarding the same to the respective agency SDDR;
- (iii) ensure all contractors adhere to the guidelines set forth in SDDG and SDDRs;
- (iv) undertake regular audits at civil works sites to ensure that the affected population have project information, access to the GRM and no grievances are present;
- (v) ensure that the GRM is functioning; all grievances are recorded in detail (complainant details, nature of grievance, response provided), and GRM details distributed with affected people at all roads;
- (vi) conduct training and workshops on social safeguard compliance and gender during the site induction of all staff and workers involved in the construction. These include all district engineers, and staff and laborers of all contractors;
- (vii) guarantee that voluntary donations provided during the project preparation phase were undertaken as per the agreed conditions included within the SDDG (i.e. the donation is made free of coercion and verified by an independent third-party witness etc.);
- (viii) ensure preparation, submission, and review of social safeguard annual monitoring reports for disclosure on ADB and MRRDA websites;

²⁶ The SDDR was compiled adopting the community-based and participatory transect walk method frequently used in the design of ADB financed rural road projects. The method is described within this project's Social Safeguards Due Diligence Guideline (SDDG). The SDDG is also commonly referred to as a "Community Participation Framework" and the SDDR as a "Community Participation Plan." Here, the titles SDDR and SDDG are used to align with standard language adopted in ADB's Safeguard Policy Statement, 2009.

- (ix) take proactive and timely measures to address any social safeguards related issues at the national or division/district levels; and
- (x) immediately inform ADB of any compliance breach in safeguard compliance.

67. **Contractor.** The Contractor is the principal agent to implement the SDDR during the pre- and construction stages. The Contractor will:

- (i) appoint the Contractor's Social Safeguard and Gender focal person and attend the site induction workshop to be organized by the SGS;
- (ii) ensure that all workers, site agents, including site supervisors and management, participate in training sessions delivered;
- (iii) verify the project design, as per the SDDR, before the start of physical works and in coordination with the SGS. Support the SGS to undertake meaningful consultations and information sharing with affected peoples during pre-construction, construction and operation;
- (iv) implement all mitigation measures and activities outlined in the SDDG and the SDDR for each road;
- (v) ensure compliance with social safeguard statutory requirements and contractual obligations;
- (vi) participate in resolving issues as a member of the GRC;
- (vii) respond promptly to grievances raised by the local community or any stakeholder and implement corrective actions or additional social mitigation measures as necessary; and
- (viii) provide SGS with all required data for social safeguard monitoring, cooperate with the SGS to implement corrective actions and corrective action plans, as necessary.

68. **ADB** is responsible for the following:

- (i) Monitoring compliance with SPS through review missions;
- (ii) review monitoring reports on social safeguards and disclose on the ADB website as required;
- (iii) assist MRRDA, if required, in carrying out its responsibilities and in building capacity for safeguard compliance;
- (iv) monitor overall compliance of the subprojects to this PAM;
- (v) assist with identification of corrective actions where needed; and
- (vi) if necessary, provide further guidance to MRRDA on the format, content, and scope of social safeguards assessment and annual monitoring reports for submission to ADB.

D. Grievance Redress Mechanism

69. A GRC will be organized by the MRRDA during the project design and preparation stage. This GRC will have three levels: PIU, Region, and PMU levels as illustrated in Table 17. The GRC provides a readily accessible organization and mechanisms to all project affected persons and stakeholders in voicing concerns and lodging complaints, while the grievance and redressal mechanism defines a time-bound and transparent process to resolve social and environmental concerns linked to the project. The operational and administrative cost of the GRC will be provided by the MRRDA.

70. The following describes the three-levels of GRC under the project:

- (i) First Level of GRC (Field level): A grievance redress committee will be formed at the Gram Panchayat level headed by the concerned MRRDA PIU Engineer and consisting of Head of Gram Panchayat (Sarpanch/Mukhiya)/local leader

nominated by Gram Panchayat (Chairperson), representative of the Gram Panchayat, and Contractor's Environment/Safeguard and Gender Focal Person. Most of the grievances received at this level would be local in nature and will be both in verbal and written form. The GRC at the field level will keep a record including date of the GRC meeting, number and types of grievances received, name of the complainant and time taken for redressal of the grievance. The First Level of GRC should ensure that at least 30% members in GRCs are women.

- (ii) **Second Level of GRC (District Level):** The Second Level GRC would be established at the district (PIU) level headed by the respective Executive Engineer. A Grievance Register will be maintained at the PIU level documenting the date and type of grievance received, the date of personal hearing provided to the complainant, the date when grievance was redressed or if not redressed date of forwarding the grievance to the GRC. All grievances that cannot be resolved at the PIU level and in cases where the complainant is not satisfied with the decision will be referred to the Project Level Committee (Head Office).

The GRC will meet regularly, at least once a month, on a prefixed date. All grievances registered will be reviewed and resolved within four weeks of the date of receipt of the grievance. The complainant/petitioner will have the right to be heard by the GRC before the committee gives its decision. Communication, in writing should be sent to the aggrieved person about the date, time and venue of the GRC meeting and make it known that s/he is entitled for personal hearing and that representation through proxy will be not be entertained. Decisions of the district level GRC will be final unless an appeal is referred to the Chief Executive Officer, MRRDA. If the committee is unable to arrive at a decision through consensus, the matter will be referred to the appellate authority with a note on opinion of the committee members. The complaint/concern will be redressed in four weeks and written communication should be sent to the complainant about the decision taken.

- (iii) **Third Level of GRC (Project Level):** The Project Director at the head office will function as an appellate authority. Decision on the appeal will be communicated to complainant within two weeks.

Table 17: Grievance Redress Mechanism

Field-Level Committee	District-Level Committee	Project-Level Committee
<ul style="list-style-type: none"> Concerned MRRDA PIU Engineer Head of Gram Panchayat / local leader nominated by Gram Panchayat (Chairperson), Representative of the Gram Panchayat Concerned MRRDA PIU Engineer 	<ul style="list-style-type: none"> Executive Engineer PIU PISC Social & Gender Specialist and Environment Expert Contractor's Environmental/ Safeguard and Gender Focal Person Ensure that at least 30% are women 	<ul style="list-style-type: none"> Project Director PMU Concerned Region Superintending Engineer Concerned MRRDA PIU Executive Engineer Concerned Region PISC Social & Gender Specialist and Environment Expert Contractor's Environmental/ Safeguard and Gender Focal Person

Field-Level Committee	District-Level Committee	Project-Level Committee
<ul style="list-style-type: none"> Contractor's Environmental/ Safeguard and Gender Focal Person Ensure that at least 30% are women 		<ul style="list-style-type: none"> Ensure that at least 30% are women

MRRDA = Maharashtra Rural Road Development Association, PISC= project implementation support consultants, PIU = project implementation unit, PMU = project management unit.

Source: Asian Development Bank.

71. The existence of the GRM does not preclude or serves as prerequisite for the complainant from accessing the local jurisdictional court of law or other authorities to seek redress at any given time.

72. People who are, or may in the future be, adversely affected by the project may submit complaints to the ADB's Accountability Mechanism that provides an independent forum and process to people adversely affected by ADB-assisted projects after making efforts in good faith to solve their problems through the GRC and also by working with the concerned ADB operations department. Only after doing that, and if they are still dissatisfied, should they approach the Accountability Mechanism.

VIII. GENDER AND SOCIAL DIMENSIONS

73. **Poverty reduction and social impact.** During project preparation, extensive consultations were held with more than 42,000 people living in the project districts. MRRDA carried out transect walks with community members, both women and men along all roads and all bridge locations. The community members including elected representatives of village *Panchayat* were overwhelmingly supportive of the project and expressed need to improve mobility between their village and commercial/industrial centers to increase economic and employment opportunities. Local communities expressed their belief that provision of all-weather roads and bridges in rural areas would contribute to reducing poverty. It is expected that the project will generate about 3.1 million person-days of employment for local communities (of which 25% will be for women) over the construction and maintenance periods. The project roads will improve farmers' access to markets and service centers, which in turn will contribute towards improved agricultural productivity and will increase farmers' incomes. All weather roads and construction of missing bridges will also promote investment in agribusiness and agriculture value chain infrastructure.

74. **Gender.** Overall, women were supportive of the project because of the potential access to economic opportunities and services including health care and education. The project is categorized *effective gender mainstreaming*. A GAP was prepared as shown in Table 18 outlining all project targets and indicators.²⁷ The gender indicators will be included in project MIS/project performance and monitoring system (PPMS) and regularly updated with sex disaggregated data. A Senior Gender Specialist will be recruited in PMU who will oversee and manage six SGS engaged (one in each of the six regions) by the project implementation support consultant (PISC) to ensure effective implementation, monitoring, and reporting of the GAP. A total of seven senior officers, specifically executive engineers, will be oriented on gender specific issues and GAP, and will be designated as gender focal points (one in the PMU and one in each of the six regions) to oversee effective implementation, monitoring and reporting of GAP activities. The progress on the GAP implementation will be reported every quarter with the project QPRs. Gender indicators will be included in PPMS and regularly updated with disaggregated data. The GAP reporting and monitoring format is prepared (Attachment H).

75. **Labor.** Project construction is expected to generate employment opportunities for local communities during the construction and maintenance phases. Provisions are in the bidding and contractual documents for the contractors to ensure that all the civil works comply with national core labor standards). The PISC will monitor the project's compliance to national core labor standards and report in the project QPRs.

76. **STI and human trafficking.** The proportion of project requiring large and non-local construction workforces is low. Therefore, the risk of spreading Sexually Transmitted Infections (STI) (including HIV/AIDs) is low. The social assessment undertaken identified no significant social risks such as HIV/AIDS or human trafficking. MRRDA will ensure that civil works contractors disseminate information at worksites on the risks of sexually transmitted diseases. All contracts will include clauses on these undertakings, and the government will strictly monitor compliance during implementation. The civil works contractors must carry out STI (including HIV/AIDS) and human trafficking awareness sessions for their laborers at work sites as part of their contract. Completion of trainings will be monitored and reported by the SGS within the annual safeguard monitoring reports.

²⁷ GAP covers both ongoing and additional financing projects.

Table 18: GENDER ACTION PLAN

Activities	Indicators and Targets	Responsibility	Timeline
Output 1. Conditions and safety of selected rural roads improved and maintained			
• Design Phase			
1. Consider the specific needs of vulnerable users (Women including women headed households, girl students, children, elderly and disabled) ^a in the design and modification of roads.	1. Road design features installed in rural roads, e.g., speed bumps, bus-bays, adequately designed rumble strips when roads pass through habitation, schools, PHC or connect with main roads, zebra crossings, cautionary/informative signages (including police stations, petrol pumps, health centers, toilets), guard stones, paved shoulders used for safe sidewalks, pavement markings, disabled hazard markers, etc.	PIU, contractors, PISC	Year 1–5 During construction
2. Involve women from the local communities including self-help groups (SHGs) and elected women representatives in project areas during project design and implementation.	2. At least 25% women participated in project orientation, planning and design of projects. (Baseline 0%) 3. At least 50% of held consultation meetings with information on participants from community disaggregated by sex, age, and disability. 4. At least 25% of participants of transect walks are women.	PIU, GP, PISC	Year 1–5 Pre-during construction
• Construction and Maintenance Phase			
3. Promote women's representation and active participation in the Grievance Redress Committees (GRCs).	5. At least 30% members in GRCs are women. (Baseline 0%) 6. Monitoring reports of GRC such as minutes of meeting with gender disaggregated list participants, database or list maintained of 30% women GRC members.	PIU, PISC	Year 1–5
4. <u>5.1</u> million person-days of employment generated for semiskilled and unskilled labor in road construction and maintenance (at least 25% of employed are women)	7. All contract works documents including EOI/TORs prepared by contractors to include requirements/ provisions for employing at least 25% women. 8. Contractors report sex disaggregated labor data. 9. At least 25% of workers hired in road construction works and maintenance are women. (Baseline 0%)	Contractor, PIU, PMU, PISC	Year 1–5 Pre and during construction
5. Ensure that contract documents prohibit the hiring of child labor and ensure implementation of national core labor standards.	10. Explicit provisions prohibiting child labor, and implementation of national core labor standards such as equal pay for work of equal value, and protection of women workers from all forms of discrimination including sexual harassment at workplace.	Contractor, PIU, PMU, PISC	Year 1–2 Pre and during construction
Output 2. Capacity of rural infrastructure agency, and awareness among road users in the State enhanced			
• Road Safety			

Activities	Indicators and Targets	Responsibility	Timeline
6. Orient girl students, women teachers and parents, AWWs on road safety; and create awareness on gender-based violence (including sexual exploitation and human trafficking and STI prevention).	11. At least 50% students, teachers and parents (at least 30% girls/women) from schools along the project road acquired knowledge on road safety. (Baseline 0%) 12. At least 50% students, teachers and parents (at least 30% girls/women) from schools along the project road acquired knowledge on gender-based violence (including sexual exploitation and human trafficking and STI prevention). (Baseline 0%)	PMU, PIU, PISC	Year 1–5
7. Enhance skills of women workers in project areas on road construction and maintenance.	13. At least 80% of trained workers (of which 50% are eligible women workers ^b) demonstrated skills in road construction and maintenance. 14. A post training assessment survey conducted to assess how women evaluate acquired skills and confidence on road construction and maintenance after the training.	PIU, contractors PISC	Year 1–5 During construction
8. Recruit women staff and enhance technical capacities of MRRDA women staff in project.	15. Increase recruitment of women staff in PIA and PMU. (at least 33%) 16. At least 75% of all MMRDA women staff including engineers in project increase knowledge and skills on road safety awareness, road asset management, contract management, financial management, climate-resilient design and construction. (Baseline 0%) 17. A post training assessment survey conducted to assess how women staff evaluate acquired knowledge and skills.	PMU, PIU, PISC	Year 1–5
• Project Monitoring and Reporting			
9. Collect, collate, and analyze sex-disaggregated data including data on labor, staff, and all orientations and training.	18. Sex disaggregated data collected, collated and analyzed on labor in construction, maintenance, women participation at project level, orientation/ training and staff. All monitoring reports to include sex disaggregated data and gender action plan achievement.	PIU, PMU, PISC	Year 1–5
10. Train PMU, PIUs, and other stakeholders in GAP implementation, monitoring and reporting.	19. MRRDA project staff including MRRDA, PMU, DOs, PIU staff oriented on gender issues in the sector; gender mainstreaming strategies, project GAP implementation, monitoring and reporting. [Target: At least 75% of staff oriented including Executive Engineers/Gender Focal Points] (Baseline: 1,395 staff)	PMU, PISC	Year 1–5
11. Monitor and Report on project GAP implementation.	20. Executive engineers designated/nominated as gender focal points to oversee the implementation, monitoring and reporting of GAP. [Target: Total 7; one in PMU and one in each of the six regions] 21. Dedicated gender and social expert mobilized full time in MRRDA through PISC for implementation, monitoring and reporting of GAP. [Target: one in PMU and one in each of the six regions] 22. GAP progress monitored regularly and reported every quarter with the project QPRs. 23. Gender indicators included in PPMS and regularly updated with sex disaggregated data. 24. Combined GAP completion report highlighting lesson learned submitted upon project completion.	PIU, PMU, PISC	Year 1–5
12. Develop and update manuals on construction and maintenance.	25. Manuals on maintenance and construction of rural roads that have gender inclusive design and climate resilient requirements developed and endorsed by the MRRDA.	PMU, PISC	Year 1–5

Activities	Indicators and Targets	Responsibility	Timeline
• Impact Evaluation			
13. Collect, collate and analyze sex-disaggregated data including data on labor, staff, and all orientations and training.	26. Mainstream gender design features for impact evaluation of project achievements through gender analysis and beneficiary surveys, including collection of sex-disaggregated data on labour, staff, and all orientations and training.	PIU, PMU, impact evaluation consultants	Year 1–5

AWW=Anganwadi workers, CPP = Community Participation Plan, DO = district office, GAP = gender action plan, GRC = grievance redress committee, GS = gender specialist, MRRDA = Maharashtra Rural Road Development Association, PISC= project implementation support consultants, PIU = project implementation unit, PMU = project management unit, QPR = quarterly progress report, RCIP = Rural Connectivity Improvement Project, TOR = Terms of Reference.

^a Rural connectivity to ensure safe institutional deliveries, reduce maternal and prenatal deaths and the mortality of children, and increase enrollment of girls in schools and universities. It will also enhance economic opportunities and safe mobility for women and girls.

^b Eligible workers are those who live in the project area and available for road works including those who can work only during agriculture lean seasons.

Source: Asian Development Bank.

77. **Implementation Arrangements for the Gender Action Plan.** The responsibilities of various agencies and parties for implementing and monitoring the GAP are provided below. MRRDA's PMU is responsible for the overall implementation of the GAP. The project will recruit six SGS (one in each of the six regions), with responsibility -among others- to consolidate inputs on GAP implementation provided by the regional offices into the QPRs and related GAP Implementation. The 34 district engineers (executive engineers) will support the SGS to ensure that the project implementation complies with the GAP.

78. **PMU and Social and Gender Specialists.** Each of the MRRDA Regional Offices will have an SGS to support the Superintending Engineer and District Engineers in supervising the implementation of the Project's GAP. The PMU will:

- (i) assume overall responsibility to oversee implementation, monitoring and reporting of the GAP and other gender mainstreaming activities;
- (ii) designate a gender focal at PMU and recruit at least six SGSs (one in each of the six regions) to oversee implementation, monitoring and reporting of gender mainstreaming activities in the project, including GAP;
- (iii) monitor the SGS (recruit/engage gender expert) as per TORs;
- (iv) establish baseline data as per project GAP requirement and collect, collate and maintain sex-disaggregated data on participation and benefits for all social aspects, including data on labor, staff, orientations/training etc.;
- (v) coordinate with other project stakeholders and experts on GAP implementation;
- (vi) PMU will monitor and report progress on GAP implementation submitted by SGS, in the prescribed format as an annexure to the project QPR; and;
- (vii) submit completion report on GAP results and lessons learnt at completion.

79. **Contractor.** The Contractor is responsible for implementing agreed targets in the GAP. The Contractor will:

- (i) appoint the Contractor's Social Safeguard and Gender focal person and attend the site induction workshop to ensure implementation of national core labor standards such as equal pay for work of equal value, and protection of women workers from discrimination and other forms of harassment is elucidated in project contracts;
- (ii) hire women workers in construction;
- (iii) report sex disaggregated labor data periodically; and
- (iv) conduct training for women workers on road construction and maintenance.

80. **ADB.** ADB is responsible for the following:

- (i) Review the GAP updates; and
- (ii) Provide guidance and support MRRDA, if required, in carrying out its responsibilities with regard to GAP and in building capacity for gender activities.

IX. PERFORMANCE MONITORING, EVALUATION, REPORTING, AND COMMUNICATION

A. Revised Project Design and Monitoring Framework

The revised design and monitoring framework strikes out content for deletion and underlines content to be added.

Impact the Project is Aligned with Quality, reliable, sustainable, safe, and affordable roads that provide equitable access for all developed (Vision 2030) ^a			
Results Chain	Performance Indicators	Data Sources and Reporting Mechanisms	Risks and Critical Assumptions
Outcome Road transport efficiency in 34 districts in Maharashtra increased	By 2025 <u>2027</u> : a. Average travel time along project roads reduced by 50% (2018 baseline: 4 minutes/km) b. Average daily vehicle-km increased to 499,200 <u>1,269,800</u> (2018 baseline: 344,250 <u>837,750</u> vehicle-km)	a.–b. Post-implementation measurement and traffic survey by the MRRDA and verified by State Quality Monitor ^b	R: Extreme weather conditions could cause significant damage to the road network
Outputs 1. Conditions and safety of selected rural roads improved and maintained with climate resilience and safety features ^c	By 2024 <u>2026</u> : 1a. At least 2,400 <u>5,000</u> km of rural roads improved to all-weather standards with climate resilience and safety features (2018 baseline: 0) ^d 1b. 5-year maintenance contracts awarded and commenced (2018 baseline: NA) ^e 1c. 2.0 <u>5.1</u> million person-days of employment generated for semiskilled and unskilled labor in road construction and maintenance (at least 25% of employed are women) (2018 baseline: 0) ^f (<u>OP 1.2</u>)	1a.–c. Quarterly monitoring reports by the MRRDA	R: Delayed release of counterpart funds could hamper the completion of works <u>R: Low response by contractors during procurement, possibly because of COVID-19</u>
2. Capacity of rural infrastructure agency and awareness among road users in the state enhanced	2a. By 2024 <u>2026</u> : At least 75% of the MRRDA project staff reported increased awareness and/or knowledge related to road safety, road asset management, contract management, and climate-resilient design and construction (2018 baseline: 0) 2b. By 2024: Manuals for construction and maintenance of climate-resilient, gender-inclusive rural road designs	2a and 2c. Post-implementation survey by the MRRDA 2b. Government endorsement memo	

Results Chain	Performance Indicators	Data Sources and Reporting Mechanisms	Risks and Critical Assumptions
	<p>developed and endorsed by the MRRDA (2018 baseline: Not applicable)</p> <p>2c. By 2024 <u>2026</u>: At least 50% of school students, teachers, and parents (at least 30% women) and Anganwadi workers⁹ along project roads reported increased awareness on road safety and gender-based violence (including sexual exploitation, human trafficking, and sexually-transmitted infection prevention) (2018 baseline: 0)</p> <p>2d. By 2024 <u>2026</u>: At least 80% of trained workers (of which 50% are women) demonstrated skills in road construction and maintenance (2018 baseline: Not applicable)</p> <p>2e. By 2024 <u>2026</u>: Annual road safety audits of at least 25% of the project roads completed (2018 baseline: 0)</p> <p>2f. <u>By 2026: Impact evaluation of the project benefits completed with sufficient baseline and end-line surveys</u> (2020 baseline: Not applicable)</p>	<p>2d. Post-training test</p> <p>2e. Road safety audit reports by the MRRDA</p> <p><u>2f. Impact evaluation reports</u></p>	
<p>Key Activities with Milestones</p> <p>1. Conditions and safety of selected rural roads improved and maintained with climate resilience and safety features</p> <p>1.1 Award contracts for improving about 2,100 km of roads to all-weather standards by Q1 2020 (<u>completed</u>); complete construction of these roads by Q1 2022 <u>2024</u>; and maintain these roads for 5 years.</p> <p><u>1.2 Award contracts for improving about 2,900 km of roads to all-weather standards by Q4 2021; complete construction of these roads by Q1 2026; and maintain these roads for 5 years.</u></p> <p>2. Capacity of rural infrastructure agency and awareness among road users in the State enhanced</p> <p>2.1 Mobilize project implementation support consultant by Q4-2019 <u>Q3 2021</u>.</p> <p>2.2 Create capacity-development training programs for the MRRDA and project communities by Q4-2020 <u>Q4 2021</u>.</p> <p>2.3 Conduct the training programs by Q1 2022.</p> <p>2.4 Develop manuals for road safety, performance-based maintenance, and climate-resilient and gender-inclusive design and construction by Q2-2020 <u>Q4 2021</u>.</p> <p>2.5 Conduct annual road safety audits (2020–2024 <u>2025</u>).</p> <p><u>2.6 Conduct baseline survey for impact evaluation by Q3 2021.</u></p> <p><u>2.7 Conduct and participate in workshops and forums to replicate the project's value addition in and outside India by Q4 2025.</u></p> <p><u>2.8 Conduct end-line survey by Q1 2026.</u></p>			

Results Chain	Performance Indicators	Data Sources and Reporting Mechanisms	Risks and Critical Assumptions
Project Management Activities Recruit project implementation support consultant (<u>completed</u>). Recruit TA consultant (<u>completed</u>). Conduct environment management plan activities. Develop and implement web-based real-time project monitoring system. Organize gender action plan activities. Conduct annual and midterm review missions. Prepare project completion report.			
Inputs Asian Development Bank: \$200.0 500.0 million (<u>\$300 million additional</u>) Government: \$96.0 237.9 million (<u>\$141.9 million additional</u>)			

COVID-19 = coronavirus disease, km = kilometer, MRRDA = Maharashtra Rural Road Development Association, OP = operational priority, Q = quarter, R = risk, TA = technical assistance.

Note: The expected values and methodological details for all OP indicators to which this operation will contribute results are detailed in Contribution to Strategy 2030 Operational Priorities (accessible from the list of linked documents in Appendix 2 of report and recommendation of the President).

- ^a State Government of Maharashtra, Planning Department. 2018. *Vision 2030*. Mumbai.
- ^b An independent monitoring system established under Pradhan Mantri Gram Sadak Yojana.
- ^c Roads were selected from the priority list of the district road development plans in 34 districts in Maharashtra.
- ^d Climate resilience measures such as improved cross and side drainage, increased surface elevations, and strengthening of embankments will be incorporated into the designs. Safety measures include cautionary and information signs, guard posts, and speed breakers.
- ^e The same contractors that built the roads will perform routine maintenance for 5 years. The government will finance all maintenance costs.
- ^f The state government considers the additional financing as an important part of the economic recovery package in response to COVID-19. The overall project is expected to generate an estimated 5.1 million person-days of employment for local communities (of which 25% will be for women) over the construction and maintenance periods.
- ^g Anganwadi workers are people employed under the Integrated Child Development Service Scheme of India to provide nutrition, immunization, and health care services to pregnant women and adolescent girls.

Contribution to Strategy 2030 Operations Priorities

In addition to the OP indicators tagged in the design and monitoring framework, this operation will contribute results for:

- OP 1.3.1: Infrastructure assets established or improved (number)
 - OP 2.1.4: Women and girls benefiting from new or improved infrastructure (number)
 - OP 2.3: Women represented in decision-making structures and processes (number)
 - OP 2.4.1: Time-saving or gender-responsive infrastructure assets and/or services established or improved (number)
 - OP 2.5: Women and girls with increased resilience to climate change, disasters, and other external shocks (number)
 - OP 2.5.2: Climate- and disaster-resilient infrastructure assets and/or services for women and girls established or improved (number)
 - OP 3.1.1: Additional climate finance mobilized (\$)
 - OP 3.2.1: Area with reduced flood risk (hectares)
 - OP 3.2.5: New and existing infrastructure assets made climate- and disaster-resilient (number)
- Source: Asian Development Bank.

B. Monitoring

81. **Project performance monitoring.** The achievement of the project performance targets will be assessed following the design and monitoring framework. MRRDA, assisted by the PISC,

will use the existing Works Online Management Information System program of MRRDA and modify the same where needed for the indicators to be monitored to include (i) agricultural produce; (ii) traffic volume; (iii) bus and freight transport fares; (iv) travel time or riding speed; (v) vehicle operating costs; (vi) surface roughness; and (vii) road accidents. In addition, socioeconomic secondary data will be obtained at the divisional level, including (a) number of businesses; (b) household income; (c) vehicle ownership; (d) unemployment rate; (e) land value; (f) average travel time to schools; and (g) average travel time to hospitals. These indicators will be monitored before and after construction, both on the project roads and on some control roads. In addition, every year during the project period, MRRDA will also monitor the (i) road maintenance budget; (ii) staff–km ratio of rural roads; and (iii) road maintenance cost per kilometer. Achievement of the capacity development activities will also be monitored. For civil works, progress will be monitored and reported monthly by the PISC. The project beneficiaries' satisfaction will be surveyed during and after project implementation. Disaggregated baseline data for output and outcome indicators gathered during project processing will be updated and reported through the QPRs from MRRDA, and after each ADB review mission. These quarterly reports will provide information necessary to update ADB's project performance reporting system.

82. **Compliance monitoring.** Compliance with covenants will be monitored through ADB's project administration missions—including project inception mission to discuss and confirm the timetable for compliance with the loan covenants; project review missions to assess the government's compliance with particular loan covenants and, where there is any noncompliance or delay, discuss proposed remedial measures with the government; and mid-term review mission, if necessary, to assess whether the covenants are still relevant or need to be changed, or waived due to changing circumstances.

83. **Procurement capacity monitoring.** There will be a regular assessment and monitoring of MRRDA's capacity to undertake procurement since there is a high number of contracts under the project (total of 414 contracts). This will help ensure that the contracts are successfully awarded and implemented.

84. **Environmental safeguard monitoring and reporting.** MRRDA is responsible for undertaking environmental due diligence and monitoring the implementation of environmental mitigation measures for all project roads and bridges.

85. *Environmental Management Plan (EMP).* The standard EMP outlines measures to mitigate all anticipated environment impacts during pre-construction, construction and operation stages. and will be included in the contract agreement with the respective civil works contractor. Prior to construction, specific mitigation measures will be updated by the Contractor with details of the location and time of implementation, and other information based on their survey of the project area.

86. *Environmental Monitoring Plan (EMoP).* For all project roads and bridges, the PMU is responsible for undertaking environmental due diligence and implementation monitoring of the environmental mitigation measures. Through the EMoP, the monitoring of EMP activities will be documented systematically. ADB must be given access to undertake environmental due diligence for all project roads and bridges, if needed.

87. *Environmental Monitoring Reports (EMR).* On an annual basis, the report will document the progress made on EMP implementation for all the roads and bridges. The PMU and PIU will be supported by six Environment Specialists to monitor all roads and bridges; pre-, during-, and post-construction. Each contractor's appointed environment focal person (EFP) will submit self-monitoring reports following a prescribed format from the initial environmental examination (IEE)

to the jurisdictional District Engineer and Environment Specialist. These self-monitoring reports are subject to the environmental audit for veracity and from which decisions will be made for further inspections. The PIUs and Environment Specialists periodic inspection reports and EFP's self-monitoring reports will be summarized into quarter and annual reports by the Environment Specialists to be reviewed by the Team Leader – PISC.

88. An outline of the EMR is shown in Attachment I. This outline is the default template and further revisions, such as addition of tables, charts, figures and among others, can be done to ensure proper documentation of (i) project implementation progress; (ii) compliance with safeguard measures and their progress toward intended outcomes; and (iii) necessary corrective actions. Annual EMRs will cover the months of January to December. On the following year, this document will be submitted to ADB every last working day in the month of January for review and guidance. The EMRs will be publicly disclosed in the ADB and MRRDA websites after ADB clears the EMRs.

89. Through self-reporting during construction and the 5-year maintenance period, the environmental safeguard monitoring is one of the primary responsibilities of the contractor (with guidance from the Environmental Specialists and PIU). The self-monitoring relates to the status of EMP implementation and possible complaints from affected people. While, the 6 Environment Specialists are responsible for monitoring the compliance with construction contracts, effectiveness of mitigation measures, complaints, and documenting environmental quality according to the results of the ambient environmental sampling tests. The reference of ambient monitoring parameter standards will be subject to the quantitative standards recommended in the the SPS.²⁸ During the 5-year maintenance period, the EFP will submit self-monitoring reports to PMU. The PMU will be responsible for the review, preparation, and disclosure of annual environmental monitoring reports.

90. **Involuntary resettlement monitoring.** MRRDA, with the support of PIUs, the PISC social and gender specialists, will set up an internal monitoring system with a set of process, outcome and impact baseline indicators. The social and gender specialists will carry out assessment of the social safeguard monitoring through field work, data verification and consultations, identify issues; and in consultation with PIUs advise on actions and provide annual social safeguard monitoring reports to MRRDA and ADB. MRRDA will adopt and modify (as needed) monitoring templates and indicators provided within the project's SDDG. ADB will also assess the progress of social safeguard activities during review missions.

91. **Gender monitoring.** The GAP activities will be monitored by the PISC SGS and they will submit monthly progress report to MRRDA and QPR on GAP implementation in the prescribed format (Attachment H) to ADB. ADB will assess the progress of these activities during review missions.

C. Evaluation

92. The project inception mission will be fielded soon after the legal agreements for the project are declared effective; thereafter, regular reviews will follow, at least annually. As necessary, special loan administration missions and a midterm review mission will be fielded, under which any changes in scope or implementation arrangements may be required to ensure achievement of project objectives. MRRDA will monitor project implementation in accordance with the schedule and time-bound milestones and keep ADB informed of any significant deviations that may result

²⁸ Section 9, Pollution Prevention and Abatement, Safeguards Requirement 1: Environment, ADB SPS 2009

in the milestones not being met. Within six months of physical completion of the project, MRRDA will submit a project completion report to ADB.²⁹

D. Reporting

93. MRRDA will provide ADB with (i) QPRs in a format consistent with ADB's project performance reporting system; (ii) consolidated annual reports including (a) progress achieved by output as measured through the indicator's performance targets, (b) key implementation issues and solutions, (c) updated procurement plan, (d) updated implementation plan for the next 12 months; and (iii) a project completion report within 6 months of physical completion of the overall project. These reports can be prepared for the overall project (not separately for the ongoing and additional financing projects). To ensure that projects will continue to be both viable and sustainable, project accounts and the executing agency audited financial statement together with the associated auditor's report should be adequately reviewed.

E. Stakeholder Communication Strategy

94. MRRDA undertook transect walks on each project road/bridge approaches involving the local community. Consultation meetings have been held with the local community involving both the elected representatives as well as other community members. During the community consultations, MRRDA officials assisted by design consultants explained various features of the project including the road/bridge design, environmental considerations, land requirement and the process of voluntary donation, mitigation measures and grievance redress procedures. A project information brochure in local language (Marathi) has been distributed to the community during these consultation meetings. During implementation, the PISC safeguard team, along with PIU staff, will continue with the community consultations and the grievance redress process. The consultation activities and GRC meetings undertaken during the project implementation will be documented in the safeguard monitoring reports.

95. Stakeholders concerned, including local communities, local forestry officials, relevant government agencies, and nongovernment organizations, have been consulted on environmental issues during project preparation. Technical recommendations on project design and biodiversity conservation provided by them have been included in the project.

96. Project information will be disclosed to the general public and concerned stakeholders as per the following table.

Table 19: Documents for Disclosure

Project Document	Means of Communication	Frequency	Audience
Project Data Sheet	ADB website	Quarterly updates	General public
Design and Monitoring Framework	ADB website	Draft design and monitoring framework after fact-finding mission	General public
Initial Environmental Examination Reports	ADB website MRRDA website	Prior to Board consideration	General public, project-affected people in Particular
Community	ADB website	Post fact-finding mission	General public,

²⁹ Project completion report format available at:

https://asiandevbank.sharepoint.com/:w:/r/teams/org_iau/_layouts/15/Doc.aspx?sourcedoc=%7BE40FAF80-3341-4AEA-8EA2-F1EC9A19429D%7D&file=PCR%20Standard.docx&action=default&mobilredirect=true.

Project Document	Means of Communication	Frequency	Audience
Participation Frameworks and Community Participation Plans	MRRDA website		project-affected people in particular
Gender Action Plan	ADB website MRRDA website	Post fact-finding mission	General public, project-affected people in Particular
Summary Poverty Reduction and Social Strategy	ADB website MRRDA website	Post fact-finding mission	General public, project-affected people in Particular
Legal Agreements	ADB website	After loan signing	General public
Project Administration Manual	ADB website	After loan negotiations; and each succeeding update as needed from time to time	General public
Social and Environment Monitoring Reports	ADB website MRRDA website	Annual	General public
Audited Project Financial Statements	ADB website	Annual	General public

ADB = Asian Development Bank, MRRDA = Maharashtra Rural Road Development Association.

Source: ADB and MRRDA.

VII. ANTICORRUPTION POLICY

97. The Government of India, the Government of Maharashtra, the MRRDA are advised of ADB's *Anticorruption Policy* (1998, as amended to date). Consistent with its commitment to good governance, accountability and transparency, ADB reserves the right to review and examine, directly or through its agents, any alleged corrupt, fraudulent, collusive, or coercive practices relating to project.³⁰ In this regard, investigation of government officials, if any, would be requested by ADB to be undertaken by the government.

98. To support these efforts the relevant provisions of ADB's Anticorruption Policy are included in the loan regulations, agreements, and the bidding documents. All contracts financed by ADB shall include provisions specifying the right of ADB to audit and examine the records and accounts of MRRDA, and all project contractors, suppliers, consultants, and other service providers as they relate to the project. Individuals and/or entities on ADB's anticorruption debarment list are ineligible to participate in ADB-financed activity and may not be awarded any contracts under the project.³¹ MRRDA will conduct a due diligence check of each contractor, suppliers, consultants, and other service providers if they are included in ADB's anticorruption debarment list prior to submission of bid evaluation reports to ADB.

VIII. ACCOUNTABILITY MECHANISM

99. People who are, or may in the future be, adversely affected by the project may submit complaints to ADB's Accountability Mechanism. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-assisted projects can voice, and seek a resolution of their problems, as well as report alleged violations of ADB's operational policies and procedures. Before submitting a complaint to the Accountability Mechanism, affected people should try in good faith to solve their problems by working with the concerned ADB operations department. Only after doing that, and if they are still dissatisfied, should they approach the Accountability Mechanism.³²

IX. RECORD OF CHANGES TO THE PROJECT ADMINISTRATION MANUAL

100. All revisions and/or updates during the course of implementation should be retained in this section to provide a chronological history of changes to implemented arrangements recorded in the PAM, including revision to contract awards and disbursement S-curves.

³⁰ ADB. 1998. *Anticorruption Policy*. Manila. Available at: <https://www.adb.org/documents/anticorruption-policy>.

³¹ ADB's Integrity Office web site is available at: <https://www.adb.org/site/integrity/main>.

³² Accountability Mechanism. <https://www.adb.org/site/accountability-mechanism/main>.

Attachment A: Terms of Reference for Audit of ADB assisted projects by Comptroller and Auditor General of India

Background:

ADB provides assistance in the form of Loan and/or Grant for the implementation of project and/or program by the executing agencies (EA) identified by the central/state government. In order to facilitate the same, a loan/grant agreement is executed between ADB and central government for each individual loan/grant and a project agreement is executed between ADB and the executing agency for each project/sub-project. The disbursement of loan is governed by the ADB Loan Disbursement Handbook which provides for various disbursement procedures viz, Direct payment procedure, Reimbursement procedure, Commitment Letter procedure and Advance Account procedure. The project agreement stipulates that the executing agency shall (i) maintain separate accounts for the project and if the executing agency is revenue earning, then for its overall operations also (ii) have such accounts and related financial statements³³ (balance sheet, statement of income and expenses and related statements) audited annually, in accordance with appropriate auditing standards consistently applied, by independent auditors whose qualifications, experience and terms of reference are acceptable to ADB; and (iii) furnish to ADB, promptly after their preparation but in any event not later than six (6) months (or 9 months if specifically approved) after the close of the fiscal year to which they relate as applicable, certified copies of such audited accounts and financial statements and the report of the auditor relating thereto (including the auditor's opinion on the use of loan proceeds and compliance with the covenants of the loan/grant agreement as well as on the use of the procedures for Advance Account, Second Generation Imprest Account (SGIA), Statement of expenditures (SOE), Force Account Works and Simultaneous Application for sub-loan approval and Withdrawal (SAW)), where applicable, all in the English language.

The executing agencies for all sovereign loans are subject to audit by the Comptroller and Auditor General of India (Supreme Audit Institution of the country). In order to comply with the requirement of audit as referred in above para, the following terms of reference should be pursued with respect to the loan/grant/project agreement executed for availing the ADB's assistance.

Objective:

Article 14(xi) of the Agreement establishing the Asian Development Bank (The Charter) States that 'Proceeds of any loan made, guaranteed, or participated by the Bank are used only for the purposes for which the loan was granted and with due attention to consideration of economy and efficiency'. In addition, Article 14(xiv) of the Charter requires ADB to be guided by sound banking principles in its operations. To fulfill the requirements of Article 14 (xi) and (xiv) of the Charter, ADB requires borrowers/project executing agencies to submit audited Project accounts (APA) and audited financial statements (AFS).

ADB requires the borrower and the project EA to have the required financial statements for each year audited by an independent auditor acceptable to ADS, and in accordance with standards on auditing that are acceptable to ADB. An audit of such financial 'statements includes: (i) an assessment of the adequacy of accounting and internal control systems with respect to project expenditures and other financial transactions, and to ensure safe custody of project financed

³³ Preparation of balance sheet, statement of income and expenditure shall depend on the legal status of the project executing/implementing agency and shall apply to autonomous bodies or corporation until extended legally to other types of organization such as government departments.

assets, (ii) a determination as to whether the borrower and project implementing entities have maintained adequate documentation on all relevant transactions, including statement of expenditures (SOE), Force Account Works and Simultaneous Application for sub-loan approval and Withdrawal (SAW)) where applicable, (iii) confirmation that expenditures submitted to ADB are eligible for financing and identification of any ineligible expenditures, (iv) compliance with loan/grant covenants and ADB's requirements for project management and (v) compliance with the use of procedures for Advance Account /Second Generation Imprest Account (SGIA)/SOE/force account works/SAW, where applicable.

The objective of the audit of the Project Financial Statement (PES) is to enable the auditor to express a professional opinion as to whether (i) the PFS present fairly, in all material respects, the sources and applications of project funds for the period under audit examination, (ii) the funds were utilized for the purposes for which they were provided, (iii) loan covenants have been complied with and (iv) expenditures shown in the PFS are eligible for financing under the relevant loan/grant agreement. In addition, where applicable, the auditor will express a professional opinion on the use of the procedures for IA, SGIA, SOE, Force Account Works and SAW and whether adequate supporting documentation has been maintained to support claims made by project management for reimbursement of expenditures incurred under the SOE, Force Account Works and SAW method of reimbursement where applicable.

The books of account that provide the basis for preparation of the PFS are established to reflect the financial transactions of the project and are maintained by the project executing/implementing agency – [] Project Implementation unit and the participating divisions.

Standards:

The audit will be carried out in accordance with the Auditing Standards promulgated by the Comptroller and Auditor General of India. The auditor should accordingly consider materiality when planning and performing the audit to reduce audit risk to an acceptable level that is consistent with the objective of the audit. Although the responsibility for preventing irregularity, fraud, or the use of loan/grant proceeds for purposes other than as defined in the legal agreements remain with the borrower, the audit should be planned so as to have a reasonable assurance of detecting material misstatements in the PFS.

Scope:³⁴

In conducting the audit, special attention should be paid to the following:

- (a) All external funds have been used in accordance with the conditions of the relevant legal agreements and only for the purposes for which the financing was provided. Relevant legal agreements include the Loan/Grant Agreement, the Project Agreement, and the Minutes of Negotiations;
- (b) Counterpart funds have been provided and used in accordance with the relevant legal agreements and only for the purposes for which they were provided;

³⁴ In response to identified project risks, the scope may be expanded to include a report or the expression of an opinion on specific aspects of the operation such as internal controls, compliance with Bank procurement policies, or efficiency and effectiveness in the use of loan/grant proceeds.

- (c) Financial covenants of the loan agreement have been complied with
- (d) All necessary supporting documents, records, and accounts have been kept in respect of all project transactions including expenditures reported via SOEs/advance accounts/SGIAs/Force Account Works/SAW where applicable. Clear linkages should exist between the books of account and reports presented to the ADB; and
- (e) The project accounts have been prepared in accordance with consistently applied Government Accounting Standards³⁵ and present fairly, in all material aspects, the financial situation of the project at the year end and of resources and expenditures for the year ended on that date.

Project Financial Statements:

The contents of Project Financial Statements (PFS) are specific to the sector, the project design and the type of implementing entity. These formats therefore vary from one project to another. The formats of PFS are prepared in consultation with the implementing entity during the preparation of the project.

The Project Financial Statements should include:

- A. In a nonrevenue-earning entity, or for the audit of project accounts, the annual financial statement may consist of the Statement of Receipts and Payments on project transactions. Other schedules of value or cumulative expenditures by category such as civil works, equipment, consultancy services, training and capacity building, administrative costs, expenditure by financier, statement of disbursement under SOE procedure, advance account, cumulative work-in-progress, assets and inventories and a summarized reconciled bank statement are to be attached. See Annexure 1-8 for examples of reporting formats that could be prepared for a project implemented by core government departments.
- B. For a revenue-earning entity, a balance sheet, income statement and cash flow statement accompanied by supplementary statements or schedules supporting the basic statement (e.g., inventories, schedule of assets, outstanding loans, aging of receivables, etc:).
- C. Statement of Disbursement: The PFS include a reconciliation between expenditure reported as per the statement of sources and application of funds and expenditure claimed from ADB through SOE, documented claims (direct payment and reimbursement), commitment letter procedure, force account works or SAW where applicable. An example is shown at Annexure 3.
- D. Other statements or schedules as may be applicable in particular circumstances and as specified in the relevant loan/grant agreements. In particular, Statement of Appropriation Vs. Actual (Annexure 9) and Statement of Expenditure by Output (Annexure 10) shall be prepared and prepared to the project financial statements. These statements shall not be subject to audit.

³⁵ Until such time as the pronouncements of the Government Accounting Standards Advisory Board are accepted and prescribed by the Ministry of Finance, the Accounting Standards followed by the Government of India will be defined by the General Financial Rules, PWD codes; Treasury codes and similar financial rules and codes as are in effect and applicable to the operations of the project.

- E. Management Assertion: Management should sign the PFS and provide a written acknowledgement of its responsibility for the preparation and fair presentation of the financial statements and an assertion that project funds have been expended in accordance with the intended purposes as reflected in the financial statements. An example of a management assertion letter is shown at Annexure 11.

Statement of Expenditure (SOE), Advance Account , Second Generation Imprest Account (SGIA), Force Account Works, Simultaneous Application for Sub-Loan Approval and Withdrawal (SAW):

During the course of the audit of the PFS, the auditor is required to audit all SOE, advance account, SGIA, Force Account Works and SAW for withdrawal applications made during the period under audit examination. The auditor should apply such tests as the auditor considers necessary under the circumstances to satisfy the audit objective. In particular, these expenditures should be carefully examined for project eligibility by reference to the relevant financing agreements. Where ineligible expenditures³⁶ are identified as having been included in withdrawal applications and reimbursed against, these should be separately noted by the auditor.

Audit Report

An audit report on the PFS should be prepared in accordance with the Auditing Standards promulgated by the Comptroller and Auditor General of India. Those standards require an audit opinion to be rendered related to the financial statements taken as a whole, indicating "unambiguously whether it is unqualified or qualified and if the latter, whether it is qualified in certain respects or is adverse or a disclaimer of opinion". In addition, the audit opinion paragraph will specify whether, in the auditor's opinion, (a) loan proceeds have been used as covenanted in ADB Loan / Project Agreement (b) financial covenants of loans have been complied with (c) with respect to SOEs, Force Account Works and SAW, where applicable, adequate supporting documentation has been maintained to support claims to ADB for reimbursement of expenditures incurred; and (d) except for ineligible expenditures as detailed in the audit observations, if any, appended to the audit report, expenditures are eligible for financing under the Loan/Grant Agreement. Relevant CAG Auditing Standards are reproduced in Annexure 12. A sample audit report wordings for unqualified opinion is shown at Annexure 13.

The PFS and the audit report should be received by ADB not later than six (6) months (or 9 months if specifically approved) after the close of the fiscal year to which they relate as specified in the loan/project agreement. The auditor should also submit two copies of the audited accounts and audit report to the Implementing Agency.

The audit report is issued without prejudice to CAG's right to incorporate the audit observations in the Report of CAG of India for being laid before Parliament / State or UT Legislature.

³⁶ Refer to ADB's Operation Manual (OM) Section H3 and Safeguard Policy Statement

Management Letter

In addition to the audit report on the PFS, the auditor may prepare a management letter containing recommendations for improvements in internal control and other matters coming to the attention of the auditor during the audit examination. Where such a management letter is prepared by the auditor, a copy of the same will be supplied to ADB. Else, a written advice may be made that no management letter was prepared together with the audit report on the PFS.

General

The auditor should be given access to any information relevant for the purposes of conducting the audit. This would normally include all legal documents, correspondence, and any other information associated with the project and deemed necessary by the auditor. The information made available by the auditor should include, but not be limited to, copies of ADB's project appraisal document, the relevant legal agreements, a copy of these guidelines and a copy of ADB's financial management assessment of the project entity. It is highly desirable that the auditor become familiar with other ADB policy document such as ADB guidelines on financial management and analysis of projects chapter 5 title reporting and auditing, PAI 5.07 on submission of audited project accounts and financial statements, OM section J7/BP on project accounting, financial reporting and auditing. The auditor should also be familiar with ADB's Loan Disbursement Handbook – July 2012 (or as amended from time to time).

Name of the Executing Agency
Name of the Implementing Agency
Name of the Project
Loan/Grant No.

STATEMENT OF RECEIPTS AND PAYMENTS
REPORT FOR THE YEAR/PERIOD ENDED XX, XXXX

in (INR) '000

Particulars	Note Reference	During the Current Year for 12 month period	During the Previous Year for 12 month period	Cumulative Project to Date As at [end of CURRENT year]
Opening balance¹ (A)				
Receipts				
Funds received from Government ²	4			
ADB Loan ³	6			
ADB Grant ³	6			
Co-financier 1	7			
Co-financier 2	8			
Beneficiary contribution (if any)	9			
Other receipts such as interest income, sale from disposals of fixed assets, etc.	10			
Total Receipts (B)				
Total (C = A + B)				
Payments				
Investment Costs⁴	11			
Civil Works				
Mechanical and Equipment				
Environment and Social Mitigation				
Consultants				
a. Project Management				
b. Capacity Development				
Others				
Subtotal (D)				
Recurrent Costs	12			
Salaries				
Accommodation				
Equipment Operation and Maintenance				
Others				
Subtotal (E)				
Total Payments				
Financing Charges During Implementation (F)	13			
Total Project Cost (G = D + E + F)				
Closing Balance (C – G)				

¹ If cash balance are controlled by the entity, indicating cash balance, advance account and SGIA balance separately

² These will include external assistance received by Government for the project.

³ This shall include amounts received in the Bank Account as well as amounts deemed to be received against direct payments made by ADB to the suppliers of goods and services under Direct Payment procedure and Commitment Letter procedure

⁴ Expenditure categories are based on the cost allocation table as per Loan/Grant Agreement

Notes 1 to x of the financial statements form an integral part of these financial statements

Name of the Executing Agency
Name of the Implementing Agency
Name of the Project
Loan/Grant No.

STATEMENT OF EXPENDITURE BY CATEGORY AND FINANCIER
REPORT FOR THE YEAR/PERIOD ENDED XX, XXXX

in (INR) '000

Particulars	ADB ⁴			Co-Financier		Government		Total Expenditure 8
	Percentage of financing ¹ 1	Actual Expenditure		Actual Expenditure		Actual Expenditure		
		Amount 2	% 3	Amount 4	% 5	Amount 6	% 7	
Investment Costs² Civil Works Mechanical and Equipment Environment and Social Mitigation Consultants a. Project Management b. Capacity Development c. Others								
Subtotal (A)								
Recurrent Costs Salaries Accommodations Equipment Operations and Maintenance Others								
Subtotal (B)								
Total Cost (C=A+B)³								
%Total Project Cost								
Total Project Cost for [insert prior year period]								

¹ The financing percentages for ADB funds should directly correlate to the financing percentages in the allocation table(s) of the financing agreement(s).

² Expenditure categories are based on the cost allocation table as per Loan/Grant Agreement

³ The figures shown against various categories of expenditure should agree with the current year's payment in Annexure 1, Statement of Receipts and Payments.

⁴ This shall include total expenditure claimed from ADB under various disbursement procedures, i.e. direct payment, reimbursement, advance account and commitment letter.

Notes 1 to x of the financial statements form an integral part of these financial statements

Annexure 3

Name of the Executing Agency
Name of the Implementing Agency

[NAME OF THE ENTITY/PROJECT]

Loan/Grant No.

FOR THE YEAR ENDED [YEAR END DATE]

Statement of Disbursement

Details of the disbursement by method are given below:

in (INR) '000

Statement of Disbursement	Note	Current Year	Prior Year	Cumulative Project to Date
ADB Fund claimed during the year				
Reimbursement ³	6.1	10		
Advance Fund ³	6.2	10		
Direct Payment	6.3	10		
Commitment Letter	6.4	10		
Subtotal	(A)	40		
Total Expenditure made during the year¹	(B)			
Less:				
Expenditure not yet claimed	(C)			
Borrower's share ²	(D)			
Total Eligible Expenditure claimed (B – C – D = E = A)	(E)			

¹ The total expenditure as per Statement of Receipts and Payments.² This should tally with the Government share included in Statement of Expenditure by category and financier (Column 6)³ Includes both claims using SOE and full supporting documentation

Notes 1 to x of the financial statements form an integral part of these financial statements

**[NAME OF THE COUNTRY/IMPLEMENTING AND EXECUTING AGENCY]
[NAME OF THE ENTITY/PROJECT]
[ADB LOAN REFERENCE]
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED [YEAR END DATE]**

1. Project Nature and Activities

1.1 *Description of the Project, the nature of activities, commencement and expected completion dates. Mention location, domicile, legal form, controlling IA/ EA, brief nature of the project outputs,*

1.2 Give legislative framework

Insert as relevant

2. STATEMENT OF COMPLIANCE

These financial statements have been prepared in accordance with approved accounting standards, as applicable in India. This refers to the cash basis of accounting applied with due regard to the General Financial Rules, PWD Codes, Treasury Codes, and similar financial rules and codes as are in effect and applicable to the operations of the Project.

3. SIGNIFICANT ACCOUNTING POLICIES

3.1 Financial Statements

This comprises of the Statement of Receipts and Payments, the Statements of Expenditure by Category and Financier, the Statement of Disbursement and related notes and appendices to the financial statements

3.2 Basis of measurement

Financial statements have been prepared under the historical cost convention and on *[cash/ accrual]* basis of accounting

3.3 Changes in Accounting policies

Describe changes in accounting policies, if any

3.4 Fund Flow mechanism

Describe the fund flow mechanism, in particular, whether the IA/EA control funds or whether all payments are centralized

3.5 Advances and other receivables

Describe treatment of advances against expenditures

3.6 Cash and cash equivalents

Cash equivalents comprise [define components of cash]. Explain if the entity controls unspent advances, only petty cash, or has a nil balance, as applicable

3.7 Accrued and other liabilities

Disclose any major liabilities which have not been accrued under the cash basis policy

3.8 Income

- i) Describe nature of different types of income and how they are recognised. For example grants, sale of proceeds of fixed assets, interest income on bank accounts etc.*
- ii) [Include if applicable] Free of cost office space, electricity and certain other services provided by {insert name} are not valued and accordingly, are not recognized in these financial statements as income of the Project.*

3.9 Foreign currency transactions and translation

(a) Functional and presentation currency

Items included in the financial statements of the Project are measured using the currency of the primary economic environment in which the entity operates (the functional currency), which is the Indian Rupee (INR).

(b) Transactions and balances

Transactions in foreign currency are converted at the exchange rate prevailing at the date of transaction. Foreign currency bank balances are re-stated at the year end rate, and the resulting gains/losses are recognized in the statement of receipts and payments account. Conversion Rate: USD \$ 1 = INR ____ as of 31 March ____

3.10 Allocation of Common Costs

Describe how common costs are allocated to different output/activities

3.11 Interest Expenses and Financial Charges

Describe how financial charges are treated and recorded. For example if these are not allocated to the Project by the CAA.

4. Funds Received from the Government

Give details of the government budgeting and funding mechanism

	in (INR) '000		
	Current Year	Prior Year	Cumulative Year to date
Government Counterpart funding Amount Reimbursable to Government			
Total	=====		

5. DATE OF AUTHORIZATION

These financial statements have been authorized for issue by the _____
of _____ on

Annexure 5

Name of the Executing Agency
Name of the Implementing Agency

[NAME OF THE ENTITY/PROJECT]

Loan/Grant No.

**NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED [YEAR END DATE]**

6. Funds Received from ADB

Give key terms and conditions of the loan, including date of loan agreement, loan effectiveness date, key terms and conditions, disbursement schedule, commitment fee and interest rates etc.

in (INR) '000

ADB Source of Funds – Method of Withdrawal	Note Reference	During the Current Year	During the Previous Year	Cumulative Project to Date
ADB Loan				
- By Reimbursement Method	6.1			
- By Advance Account ¹	6.2			
- By Direct Payment	6.3			
- By Commitment Procedure	6.4			
ADB Loan Total				
ADB Grant				
ADB Loan and Grant Total				

¹ This should agree with the advances/replenishments net of refunds in Statement 6.2.

6.1 Funds Received from ADB through Reimbursement Method

Give details, if necessary

Name of the Executing Agency
Name of the Implementing Agency

[NAME OF THE ENTITY/PROJECT]
Loan/Grant No.
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED [YEAR END DATE]

6.2 Reconciliation of the Advance Account and the Bank Statement is given below

STATEMENT OF ADVANCE ACCOUNT
FOR THE YEAR/PERIOD ENDED XX, XXXX.

		in (INR) '000	
		Prior Year	Current Year
Balance brought forward from previous period		100	140
Add:			
Advance ¹		200	200
Replenishment received during the year/period ¹			
Interest Earned		10	10
Subtotal (A)		310	350
Deduct:			
Payments made during the year/period		150	150
Replenishment /Liquidation ¹	50		
Expenditure yet to be claimed	100		
Amount refunded during the year/period		20	20
Closing Balance (B)		140	180
As per bank statement (copy attached)		140	180

1 Withdrawal application-wise references required

6.2.1 The US \$ equivalent notational amount held at the RBI in respect of the above Advance Account balance is _____ US \$ (bank statement attached)

Annexure 6

6.3 Details of Payments made directly by ADB are given below

(Add relevant details here)

6.4 Details of payments made through commitment procedure

(Add relevant details here)

6.5 Details of Grants

(Give relevant details for grants)

Name of the Executing Agency
Name of the Implementing Agency

[NAME OF THE ENTITY/PROJECT]

Loan/Grant No.

NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED [YEAR TO DATE]

6.6 Details of disbursement claimed under the Statement of Expenditure (SOE) Procedure are given below

**DISBURSEMENT CLAIMED UNDER STATEMENT OF EXPENDITURE (SOE) PROCEDURE
FOR THE YEAR/PERIOD ENDED XX, XXXX**

in (INR) '000

W/A No.	SOE Sheet No. 2	Category 3	Total Amount Paid 4	ADB Financing % ¹ 5	Net Eligible Expense 6 (4x5)	Amount Reimbursed 7	Advance Fund Replenished/ Liquidated 8	Total Disbursement Using SOE Procedure 7 + 8 = 9
00001	1	Civil Works	100	80%	80	60	20	80
00002	2	Mechanical and Equipment						
	1	Consultants						
	2	Salaries						
	3	Accommodation						
00005	1	Environment and Social Mitigation						
	2	Equipment Operation and Maintenance						
		Total						
		Total for [prior year]						

¹ The financing percentages within the table for ADB funds are as per loan agreement Schedule 3.

Name of the Executing Agency
Name of the Implementing Agency

[NAME OF THE ENTITY/PROJECT]

Loan/Grant No.

**NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED [YEAR END DATE]**

in (INR) '000		
Current Year	Prior Year	Cumulative Project to Date

7 – 13

If any of the amounts given on the Statements of Receipts and Payments require further detail or Break-down, provide this here against relevant Note

Name of the Executing Agency
Name of the Implementing Agency
Name of the Project
Loan/Grant No.

EXPENDITURE BY OUTPUT COMPONENTS

In INR '000															
	Unallocable common costs			Output 1 ¹			Output 2			Output 3			Total Expenditure		
	Prior Year	Current Year	Cum to Date	Prior Year	Current Year	Cum to Date	Prior Year	Current Year	Cum to Date	Prior Year	Current Year	Cum to Date	Prior Year	Current Year	Cum to Date
Investment Costs															
Civil Works															
Mechanical Equipment															
Environment and Social Mitigation															
Consultants															
a. Project Management															
b. Capacity Development															
Others															
Subtotal (A)															
Recurrent Costs															
Salaries															
Accommodation															
Equipment Operation and Maintenance															
Others															
Subtotal (B)															
Total Cost (C=A+B)															
% Total Project Cost															

¹ Allocate the expenditure to the different Project Output Components as per the Loan Agreement. Add as many columns as required. For common costs allocated, specify the sharing ratios in the note 3.10

Example of a Management Assertion Letter

(Project Letterhead)

(To Author)

(Date)

This assertion letter is provided in connection with your audit of the financial statement of the _____ Project for the year ended _____. We acknowledge our responsibility for the fair presentation of the financial statements in accordance with the cash basis of accounting followed by the Government of India, and we confirm, to the best of our knowledge and belief, the following representations made to you during your audit:

- The project financial statements are free of material misstatements, including omissions.
- Project funds have been used for the purposes for which they were provided.
- Project expenditures are eligible for financing under the Loan/Credit agreement.
- There have been no irregularities involving management or employees who have a significant role in internal control or that could have a material effect on the project financial statements.
- We have made available to you all books of account and supporting documentation relation to the project.
- The project has complied with the conditions of all relevant legal agreements, including the Financing Agreement, the Project Agreement, the Project Appraisal Document, the Minutes of Negotiations, and the Borrower's Project Implementation Plan.

(Project Director / Chief Executive Officer)

(Chief Finance Officer / Senior Finance Officer)

Annexure 12

Excerpt from CAG Auditing Standards (2nd Edition, 2002) Chapter IV, Reporting Standards**12. The form and content of audit opinion and report.****12.1 The form and content of all audit opinions and reports are founded on the following general principles:**

- (a) **Title.** The opinion or report should be preceded by a suitable title or heading, helping the reader to distinguish it from statements and information issued by others.
- (b) **Signature and date.** The opinion or report should be properly signed. The inclusion of a date informs the reader that consideration has been given to the effect of events or transactions about which the auditor became aware up to that date (which, in the case of regularity (financial) audits, may be beyond the period of the financial statement).
- (c) **Objectives and scope.** The opinion or report should include reference to the objectives and scope of the audit. This information establishes the purpose and boundaries of the audit.
- (d) **Completeness.** Opinions should be appended to and published with the financial statements to which they relate, but performance reports may be free standing. The auditor's opinions and reports should be presented as prepared by the auditor. In exercising its independence CAG may acquire information from time to time, which in the national interest cannot be freely disclosed. This can affect the completeness of the audit report. In this situation the auditor should consider the need to make a report, possibly including confidential or sensitive material in a separate, unpublished report.
- (e) **Addressee.** The opinion or report should identify those to whom it is addressed, as required by the circumstances of the audit engagement and local regulations or practice. This is unnecessary where formal procedures exist for its delivery.
- (f) **Identification of subject matter.** The opinion or report should identify the financial statements (in the case of regularity (financial) audits) or area (in the case of performance audits) to which it relates. This includes information such as the name of the audited entity, the date and period covered by the financial statements and the subject matter that has been audited.
- (g) **Legal basis.** Audit opinions and reports should identify the legislation or other authority providing for the audit.
- (h) **Compliance with standards.** Audit opinions and reports should indicate the auditing standards or practices followed in conducting the audit, thus providing the reader with an assurance that the audit has been carried out in accordance with generally accepted procedures.
- (i) **Timeliness.** The audit opinion or report should be available promptly to be of greatest use to readers and users, particularly those who have to take necessary action.

Report of the Comptroller and Auditor General of India

To

(Project Implementing Authority)

Report on the Project Financial Statements

We have audited the accompanying financial statements of the _____ Project financed under Asian Development Bank Loan No. _____, which comprise the Statement of Receipts and Payments, the Statement of Expenditure by Category and Financier, the Statement of Disbursement³⁷ and related notes for the year ended _____.

OR

In case of PIA maintaining Balance Sheet balance sheet and statement of income and expenditure following part may be substituted:

We have audited the accompanying financial statements along with Balance Sheet balance sheet, income and expenditure statement and Cash Flow Statement and related statements of the _____ Project financed under Asian Development Bank Loan No. _____, for the year ended _____,

These statements are the responsibility of the Project's management. Our responsibility is to express an opinion on the accompanying financial statements based on our audit.

We conducted our audit in accordance with the Auditing Standards promulgated by the Comptroller and Auditor General of India. Those Standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. Our audit examines, on a test basis, evidence supporting the amounts and disclosures in the financial statements. It also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall statement presentation. We believe that our audit provides a reasonable basis for our opinion.

³⁷ Insert titles of other required statements and schedules included in or annexed to the project financial statements, if any.

In our opinion, the financial statements present fairly, in all material respects, the sources and applications of funds of Project for the year ended [insert date] in accordance with Government of India accounting standards.³⁸

In addition, in our opinion;

- (a) Proceeds of the loan from ADB have been utilized for the purposes as per ADB Loan / Project Agreement
- (b) Financial covenants in the loan agreement [name and number of loan] dated [date of loan] have been complied with
- (c) (i)(a) With respect to SOEs, adequate supporting documentation has been maintained to support claims to the Asian Development Bank for reimbursements of expenditures incurred; and (b) except for ineligible expenditures as detailed in the audit observations, if any, appended to this audit report, expenditures are eligible for financing under the Loan Agreement.
- (ii)(a) The Advance Accounts give a true and fair view of the receipts collected and payments made during the year ended---; and (b) these receipts and payments support Advance Account liquidations/replenishments during the year.

This report is issued without prejudice to CAG's right to incorporate the audit observations in the Report of CAG of India for being laid before Parliament/State or UT Legislature.

[Auditor's Signature]

[Auditor's Address]

[Date³⁹]

³⁸ Until the Ministry of Finance prescribes adoption of the accounting standards pronounced by GASAB or other body such as IPSAS, the accounting standards followed by the Government of India shall be the cash basis of accounting applied with due regard to the General Financial Rules, PWD codes, Treasury codes and similar financial rules and codes as are in effect and applicable to the operations of the project.

³⁹ The report should be dated as of the date to which the auditor has become aware of and considered the effects of events and transactions. This is generally the final date of fieldwork, as opposed to the date of signing the audit report.

Attachment B: Quarterly Progress Report Template

Loan: xx
Quarterly Progress Report
(January – March 20xxx)

Executing / Implementing Agency

Contents

Chapter 1	Project at A Glance
Chapter 2	Status of EA and Consultant(s) Staffing
Chapter 3	Status of Input(s) (Procurement and Consultant Recruitment)
Chapter 4	Progress on Project Output(s)
Chapter 5	Status of Last Action Plan (<i>Previous ADB Review Mission/TPRM / last Progress Report</i>)
Chapter 6	States of Major Loan Covenants
Chapter 7	Key Implementation Challenges and Proposed Actions
Chapter 8	Financial Management
<p>Attachment 1: Status of Ongoing Contract Packages</p> <p>Attachment 2: Status of Consultants Staffing</p> <p>Attachment 3: Consultants' Performance Evaluation Report</p> <p>Attachment 4: Detailed Reconciliation (by Withdrawal application) of Project Records and ADB Disbursement Records (LFIS/GFIS) for the Fiscal Year to Date and Cumulative</p> <p>Attachment 5: Status of FM Action Plan (Completed/Ongoing)</p> <p>Attachment 6: Status of Past Audit Observations (Resolved/ Pending)</p>	

CHAPTER 1

PROJECT AT A GLANCE

Brief project description to be filled by project team (one-time entry; to be update only in case of change)

1. LOAN MILESTONE

Milestone	Approval	Signing	Effective	Orig. Closing	Rev. Closing
Dates					
Extensions (Nos)				Time Remaining	

2. LOAN UTILIZATION STATUS (\$MILLION)

Cat.	Description	Allocation	Contracts	Unutilized Loan Balance	Disbursed	Undisb. Contract Balance	Overall Undisbursed
		(a)	(b)	(c) =(a-b)	(d)	(e)=(b-d)	(f)=(a-d)

3. Potential Loan Savings (if any) and likely Cancellation Date.

4. STATUS OF COUNTERPART FUNDS (\$ MILLION)

Required Counterpart Expenditure by the EA	Budgeted by State Govt. in Current Financial Year	Actual Amount Released	Shortfall /Excess
1.Non-reimbursables Activities fully funded by the EA (LA/R&R etc)			
2. Reimbursable (from loan)			

5. STATUS OF CONTRACT AWARDS AND DISBURSEMENTS (\$MILLION) IN CY XXXX

Indicator	Quarter	I	II	III	IV	Total
Contract Award	Target					
	Achieved					
	Balance					
Disbursement	Target					
	Achieved					
	Balance					

[Targets – for the ADB financing compare the actual disbursement with the disbursement projections as per the S curve included in the PAM , Include an analysis of significant variances between planned and actual disbursements; and]

6. STATUS OF PROJECT REPORTS TO BE SUBMITTED TO ADB

Type of Reports	Frequency	Due Date	Status
Environmental Monitoring Report			
Social Monitoring Report			
Audited Project Accounts			
Gender Action Monitoring Report			

CHAPTER 2

STAFFING

1. STATUS OF PMU/PIU STAFFING

1 a	Is the Project Director (PD) currently posted?	Yes/ No	Nature of PD posting	Part Time/Full Time
1 b	Current PD is posted since when?	Xx		
2 a	No. of PMU staff as agreed with ADB or as per Org Structure in PAM/FAM/RRP.	Xx	Actual no. of PMU staff in place at present.	
			Full Time	
			Additional Charge	
2 b	Details of PMU Positions which are currently vacant.	-		
3 a	Are PIUs required to be established in the Project?	Yes/ No	Are PIUs fully staffed	
3 b	No. of PIUs required as agreed with ADB in Org Structure in PAM/FAM/RRP	11	Actual no. of PIUs	

2. MOBILIZATION STATUS OF CONSULTANT'S STAFFING (KEY EXPERT POSITIONS) AND THEIR PERFORMANCE

(Please provide your overall feedback in narrative statement e.g. key issues overall performance etc. and attach staffing status and Consultant's Performance Evaluation Report (PER): Attachment 2 & 3

CHAPTER 3

STATUS OF PROCUREMENT & CONTRACT MANAGEMENT

A. Status of Contracts Awarded

Cost Category under which Procurement is carried out	ADB Financing	Cumulative Contract Awards	Uncontracted Loan Balance	Cumulative Disbursements
Civil Works	\$..... million	\$..... million (xx Pkgs awarded)	\$..... million	\$..... million
Equipment	\$..... million	\$..... million (xx Pkgs awarded)	\$..... million	\$..... million
Consultants	\$..... million	\$..... million (xx Pkgs awarded)	\$..... million	\$..... million
Total	\$.... million	\$..... million	\$..... million	\$..... million

(Please attach Contract Monitoring Sheet indicating status of each of the awarded contracts in Attachment -1)

B. Status of Remaining Procurement

SN	Component	Remaining Contract Packages			
		No of pkgs with cost	Brief Scope	Current Stage	Target Date of Award
1	Civil Works	xx (\$... million)	km of road rehabilitation/ house service connections in xx towns	- IFB to be issued - Under Tech Evaluation - Under Fin. Evaluation - Under Contract Negotiation - Under Contract Signing	MM/YYYY
2	Equipment	xx (\$...million)			MM/YYYY
3	Consultants	xx (\$...million)			MM/YYYY
	Total xx Packages	\$xx million			(Target date of the latest procurement)

CHAPTER 4

PROGRESS ON PROJECT OUTPUTS (AS IN DMF)

Output	Monitoring Indicators/Targets	Progress		Remarks
		Last Quarter	Current Quarter	

Detailed status of ongoing contracts is in Attachment 1.

CHAPTER 5**STATUS OF ACTION PLAN**

(Please include issues previously discussed during previous
ADB Review Missions/TPRM/Progress Report and their compliance/status)

SN	Issues/ Action Plan	Responsibility	Time Frame	Status

CHAPTER 6**COMPLIANCE WITH MAJOR COVENANTS**

S.N.	Covenants	Compliance (Y/N) *	Remarks
1			
2			
3			
4			
5			
6			

**In case of any exceptions, deviations, non-adherence identified, please provide details as an “Annexure” to the QPR highlighting the shortcomings and proposed time-bound corrective action plans to achieve compliance.*

CHAPTER 7

(KEY IMPLEMENTATION ISSUES/CHALLENGES AFFECTING PROJECT PROGRESS AND PROPOSED ACTIONS

S.N.	Major Issues*	Actions	Responsibility	Time Frame
1	Planning Issues. (Change in design/scope/implementation arrangement/cost overrun/staffing.....)			
2	Contract and Construction Issues. Mobilization of Contractor(s)/ Issuance of Good for construction drawings/ Utility Sifting /Handing over site/ variations order etc. /Pending Payments			
3.	Safeguard issues during Construction (Land acquisition / Resettlement /tree cutting/ to the contractor(s))			
4.	Other Issues.			

**In case issue identified, please provide details e.g. details of change in design/ implementation arrangements, pending safeguards actions, encumbrance free sites to be handed over to the contractor (numbers/kilometer) with targeted date by which the same could be handed over to the contractor; If all Drawings/Design are not issued/approved, name of such Drawings/Design and targeted date by which the same could be handed over to the contractor; Decision pending with employer and consultants (such decision could be approval of, variations, extra item rate, etc.)*

CHAPTER 8

FINANCIAL MANAGEMENT AND RECONCILIATION WITH ADB DISBURSEMENT RECORDS

i. Reconciliation of Project records and ADB's disbursement records,

[Include here a summary reconciliation of project records and ADB disbursement records (LFIS) for the reporting period and cumulative from project inception to end of the reporting period.

Explain reasons for discrepancies and outline follow-up actions required (if any). Attach a detailed reconciliation by WA as per Attachment 4

ii. Status of the project's Financial management arrangements

[Here include the following:

- Describe any problems in the existing FM arrangements and /or flow of funds and any significant changes occurred during the reporting period (e.g. FM staff turnover, implementation of new financial systems, emerging FM related risks etc.);
- Summarize the status of each agreed action in the FM action plan outlined in the PAM. Attach a detailed log as per Attachment 5;
- Outline the status of recommendations and immediate actions provided by ADB as part of the APFS/AEFS review (if any) and FM related recommendations agreed during ADB review missions (if any); and
- Summarize the status of Status of past audit observations (if any). Attach a detailed log as per Attachment 6.

Attachment 4. Detailed reconciliation (by Withdrawal application) of project records and ADB disbursement records (LFIS/GILFIS) for the fiscal year to date and cumulative

WA details			Per project records/APFS (Amount recorded in the project Financial statements as reimbursement, direct payment, etc..)				Per ABD disbursement records LFIS/GFIS (actual Paid)			
Withdrawal application No (WA)	Disbursement method (reimbursement, direct payment, etc..)	Time period covered in the WA	Date	In local currency (as recorded in project records/ financial statements)	exchange rate	USD equivalent (A)	Value date	In USD (B)	Difference (A-B)	Reason for difference (i.e. timing forex. Pending rejected)
1		1-31.3.2020		XX		XX		XX		
2				XX		XX		XX		
3				XX		XX		XX		
etc..										
Total in Fiscal year to date				XX		XX		XX		
Total Cumulative to date				XX		XX		XX		

Attachment 5: Status of Financial Management Action Plan

Key Risk	Risk Mitigating Activity	Timeline	Responsible Entity	Current status (implemented/Pending)	Remarks (including planned actions and timeline in case of noncompliance)

Attachment 6: Status of external audit observations – Cumulative from inception to end of reporting period

Recommendation/ audit observation	External audit recommendation	Date of the recommendation	Planned action to address the recommendation	Responsibility	Current Status of the planned action (pending /resolved)	Remarks

Attachment C: Procurement Plan

Basic Data

Project Name: Maharashtra Rural Connectivity Improvement Project - Additional Financing		
Project Number: 52328-002	Approval Number:	
Country: India	Executing Agency: Maharashtra Rural Road Development Association	
Project Procurement Risk: Low	Implementing Agency: Maharashtra Rural Road Development Association	
Project Financing Amount: US\$ 441,900,000 ADB Financing: US\$ 300,000,000 Cofinancing (ADB Administered): Non-ADB Financing: US\$ 141,900,000	Project Closing Date: 31 July 2026	
Date of First Procurement Plan: 27 July 2020	Date of this Procurement Plan: 27 July 2020	
Procurement Plan Duration (in months): 18	Advance Contracting: Yes	e-GP: Yes https://mahatenders.gov.in/nicgep/app

A. Methods, Review and Procurement Plan

Except as the Asian Development Bank (ADB) may otherwise agree, the following methods shall apply to procurement of goods, works, and consulting services.

Procurement of Goods and Works	
Method	Comments
Open Competitive Bidding (OCB) for Works	<p>The first OCB package for each of the six regions for both roads and bridges (12 procurements in total) is subject to prior review. All other remaining packages are subject to post-review.</p> <p>Prior review for first Technical and Financial Bid Evaluation Report (TBER and FBER) from six regions for roads and bridges (total of 12 TBERs and FBERs for prior review), post-review (sampling) for succeeding BERs at 30% and 70% contract awards thresholds for each of the 34 PIUs.</p>

Consulting Services	
Method	Comments
Competitive for Individual Consultant	

B. Lists of Active Procurement Packages (Contracts)

The following table lists goods, works, non-consulting and consulting services contracts for which the procurement activity is either ongoing or expected to commence within the procurement plan duration.

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
01 (ADB-AMR-13)	Improvement/Up grading and maintenance of rural roads in Amaravati District/PIU	1,042,600.00	OCB	Prior	1S2E	Q4 / 2020	<p>Non-Consulting Services: No</p> <p>Advertising: National</p>

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: Package rep of AMR region under prior review
02 (ADB-AUR-08)	Improvement/Up grading and maintenance of rural roads in Aurangabad District/PIU	881,300.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: Package rep of AUR region

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							under prior review
03 (ADB-RAI-13)	Improvement/Up grading and maintenance of rural roads in Raigad District/PIU	458,700.00	OCB	Prior	1S2E	Q4 / 2020	<p>Non-Consulting Services: No</p> <p>Advertising: National</p> <p>No. Of Contracts: 1</p> <p>Prequalification of Bidders: No</p> <p>Domestic Preference Applicable: No</p> <p>Advance Contracting: Yes</p> <p>Bidding Document: Others</p> <p>High Risk Contract: No</p> <p>e-GP: Yes</p> <p>e-GP Type: e-Bidding</p> <p>Covid-19 Response? No</p> <p>Comments: Package rep of KON region under prior review; replacement package; initially ADB-RAI-07.</p>
04 (ADB-GON-07)	Improvement/Up grading and maintenance of rural roads in Gondia District/PIU	745,100.00	OCB	Prior	1S2E	Q4 / 2020	<p>Non-Consulting Services: No</p> <p>Advertising: National</p> <p>No. Of Contracts: 1</p> <p>Prequalification of Bidders: No</p> <p>Domestic Preference Applicable: No</p> <p>Advance Contracting: Yes</p> <p>Bidding Document: Others</p> <p>High Risk Contract: No</p>

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: Package rep of NAG region under prior review
05 (ADB-NAG-12)	Improvement/Up grading and maintenance of rural roads in Nagpur District/PIU	221,300.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: Package rep of NAG region under prior review.
06 (ADB-NAS-16)	Improvement/Up grading and maintenance of rural roads in Nashik District/PIU	1,212,000.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: Package rep of NAS region under prior review
07 (ADB-SOL-18)	Improvement/Up grading and maintenance of rural roads in Solapur District/PIU	1,000,800.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: Package rep of PUN region under prior review
08 (AMR-ADB-AKO/07)	Improvement/Up grading and maintenance of rural roads in	14,414,600.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Akola District/PIU						Advertising: National No. Of Contracts: 7 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-AKO-08	2,266,400.00					
	Lot 2: ADB-AKO-09	2,006,600.00					
	Lot 3: ADB-AKO-10	1,674,900.00					
	Lot 4: ADB-AKO-11	2,854,800.00					
	Lot 5: ADB-AKO-12	2,058,000.00					
	Lot 6: ADB-AKO-13	1,975,900.00					
	Lot 7: ADB-AKO-14	1,578,000.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
09 (AMR-ADB-AMR/07)	Improvement/Up grading and maintenance of rural roads in Amaravati District/PIU	6,980,800.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 6 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-AMR-08	1,637,000.00					
	Lot 2: ADB-AMR-09	1,152,700.00					
	Lot 3: ADB-AMR-10	937,500.00					
	Lot 4: ADB-AMR-11	1,284,100.00					
	Lot 5: ADB-AMR-14	447,100.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 6: ADB-AMR-15	1,522,400.00					
10 (AMR-ADB-BUL/06)	Improvement/Up grading and maintenance of rural roads in Buldana District/PIU	6,341,600.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No
							Advertising: National
							No. Of Contracts: 6
							Prequalification of Bidders: No
							Domestic Preference Applicable: No
							Advance Contracting: Yes
							Bidding Document: Others
							High Risk Contract: No
							e-GP: Yes
							e-GP Type: e-Bidding
							Covid-19 Response? No
	Lot 1: ADB-BUL-08	1,427,300.00					
	Lot 2: ADB-BUL-09	1,230,600.00					
	Lot 3: ADB-BUL-10	613,800.00					
	Lot 4: ADB-BUL-11	688,400.00					
	Lot 5: ADB-BUL-12	1,213,500.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 6: ADB-BUL-13	1,168,000.00					
11 (AMR-ADB-WAS/04)	Improvement/Up grading and maintenance of rural roads in Washim District/PIU	5,565,200.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No
							Advertising: National
							No. Of Contracts: 4
							Prequalification of Bidders: No
							Domestic Preference Applicable: No
							Advance Contracting: Yes
							Bidding Document: Others
							High Risk Contract: No
							e-GP: Yes
							e-GP Type: e-Bidding
							Covid-19 Response? No
	Lot 1: ADB-WAS-05	1,662,400.00					
	Lot 2: ADB-WAS-06	1,819,400.00					
	Lot 3: ADB-WAS-07	731,400.00					
	Lot 4: ADB-WAS-08	1,352,000.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
12 (AMR-ADB-YAV/09)	Improvement/Up grading and maintenance of rural roads in Yavatmal District/PIU	7,897,900.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No
							Advertising: National
							No. Of Contracts: 9
							Prequalification of Bidders: No
							Domestic Preference Applicable: No
							Advance Contracting: Yes
							Bidding Document: Others
							High Risk Contract: No
							e-GP: Yes
							e-GP Type: e-Bidding
							Covid-19 Response? No
	Lot 1: ADB-YAV-08	644,800.00					
	Lot 2: ADB-YAV-09	775,000.00					
	Lot 3: ADB-YAV-10	788,900.00					
	Lot 4: ADB-YAV-11	977,100.00					
	Lot 5: ADB-YAV-12	453,700.00					
	Lot 6: ADB-YAV-13	862,800.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 7: ADB-YAV-14	1,209,100.00					
	Lot 8: ADB-YAV-15	1,107,900.00					
	Lot 9: ADB-YAV-16	1,078,600.00					
13 (AUR-ADB-AUR/08)	Improvement/Up grading and maintenance of rural roads in Aurangabad District/PIU	8,816,300.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 8 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-AUR-06	936,300.00					
	Lot 2: ADB-AUR-07	864,900.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 3: ADB-AUR-09	742,600.00					
	Lot 4: ADB-AUR-10	702,900.00					
	Lot 5: ADB-AUR-11	1,181,800.00					
	Lot 6: ADB-AUR-12	1,646,600.00					
	Lot 7: ADB-AUR-13	1,112,000.00					
	Lot 8: ADB-AUR-14	1,629,200.00					
14 (AUR-ADB-BEE/10)	Improvement/Up grading and maintenance of rural roads in Beed District/PIU	12,793,300.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 10 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 1: ADB-BEE-08	2,098,500.00					
	Lot 2: ADB-BEE-09	935,300.00					
	Lot 3: ADB-BEE-10	1,680,800.00					
	Lot 4: ADB-BEE-11	1,258,300.00					
	Lot 5: ADB-BEE-12	530,000.00					
	Lot 6: ADB-BEE-13	1,634,700.00					
	Lot 7: ADB-BEE-14	1,092,600.00					
	Lot 8: ADB-BEE-15	1,293,600.00					
	Lot 9: ADB-BEE-16	760,300.00					
	Lot 10: ADB-BEE-17	1,509,200.00					
15 (AUR-ADB-HIN/05)	Improvement/Up grading and maintenance of rural roads in Hingoli District/PIU	7,542,600.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 5

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 1: ADB-HIN-06 Lot 2: ADB-HIN-07 Lot 3: ADB-HIN-08 Lot 4: ADB-HIN-09 Lot 5: ADB-HIN-10	1,307,200.00 1,551,100.00 1,664,900.00 735,600.00 2,283,800.00					Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
16 (AUR-ADB-JAL/10)	Improvement/Up grading and maintenance of rural roads in Jalna District/PIU	12,196,800.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 10 Prequalification of Bidders: No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							Domestic Preference Applicable: No
							Advance Contracting: Yes
							Bidding Document: Others
							High Risk Contract: No
							e-GP: Yes
							e-GP Type: e-Bidding
							Covid-19 Response? No
	Lot 1: ADB-JLN-09	838,400.00					
	Lot 2: ADB-JLN-10	1,199,400.00					
	Lot 3: ADB-JLN-11	1,349,500.00					
	Lot 4: ADB-JLN-12	579,100.00					
	Lot 5: ADB-JLN-13	1,553,700.00					
	Lot 6: ADB-JLN-14	1,212,700.00					
	Lot 7: ADB-JLN-15	1,384,100.00					
	Lot 8: ADB-JLN-16	1,301,600.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 9: ADB-JLN-17	1,212,100.00					
	Lot 10: ADB-JLN-18	1,566,200.00					
17 (AUR-ADB-LAT/10)	Improvement/Up grading and maintenance of rural roads in Latur District/PIU	6,890,600.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 10 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-LAT-08	1,604,600.00					
	Lot 2: ADB-LAT-10	623,600.00					
	Lot 3: ADB-LAT-11	390,200.00					
	Lot 4: ADB-LAT-12	322,300.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 5: ADB-LAT-13	847,100.00					
	Lot 6: ADB-LAT-15	447,700.00					
	Lot 7: ADB-LAT-16	409,900.00					
	Lot 8: ADB-LAT-17	636,500.00					
	Lot 9: ADB-LAT-18	892,500.00					
	Lot 10: ADB-LAT-19	716,200.00					
18 (AUR-ADB-NDD/07)	Improvement/Up grading and maintenance of rural roads in Nanded District/PIU	6,144,600.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 7 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 1: ADB-NDD-08	619,200.00					Covid-19 Response? No
	Lot 2: ADB-NDD-09	601,600.00					
	Lot 3: ADB-NDD-10	1,256,800.00					
	Lot 4: ADB-NDD-11	757,000.00					
	Lot 5: ADB-NDD-12	1,305,400.00					
	Lot 6: ADB-NDD-13	1,056,800.00					
	Lot 7: ADB-NDD-14	547,800.00					
19 (AUR-ADB-OSM/09)	Improvement/Up grading and maintenance of rural roads in Osmanabad	13,806,500.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 9 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-OSM-07	528,700.00					
	Lot 2: ADB-OSM-08	943,500.00					
	Lot 3: ADB-OSM-09	2,471,900.00					
	Lot 4: ADB-OSM-10	1,840,800.00					
	Lot 5: ADB-OSM-11	2,721,200.00					
	Lot 6: ADB-OSM-12	1,608,600.00					
	Lot 7: ADB-OSM-13	1,317,900.00					
	Lot 8: ADB-OSM-14	1,303,500.00					
	Lot 9: ADB-OSM-15	1,070,400.00					
20 (AUR-ADB-PAR/10)	Improvement/Up grading and maintenance of rural roads in Parbhani	9,237,700.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	District/PIU						Advertising: National No. Of Contracts: 10 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-PAR-08	1,000,200.00					
	Lot 2: ADB-PAR-09	1,346,800.00					
	Lot 3: ADB-PAR-10	115,000.00					
	Lot 4: ADB-PAR-11	973,600.00					
	Lot 5: ADB-PAR-12	804,500.00					
	Lot 6: ADB-PAR-13	1,052,200.00					
	Lot 7: ADB-PAR-14	1,044,500.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 8: ADB-PAR-15	949,700.00					
	Lot 9: ADB-PAR-16	1,144,500.00					
	Lot 10: ADB-PAR-17	806,700.00					
21 (KON-ADB-PAL/06)	Improvement/Up grading and maintenance of rural roads in Palghar District/PIU	5,786,800.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	<p>Non-Consulting Services: No</p> <p>Advertising: National</p> <p>No. Of Contracts: 6</p> <p>Prequalification of Bidders: No</p> <p>Domestic Preference Applicable: No</p> <p>Advance Contracting: Yes</p> <p>Bidding Document: Others</p> <p>High Risk Contract: No</p> <p>e-GP: Yes</p> <p>e-GP Type: e-Bidding</p> <p>Covid-19 Response? No</p>
	Lot 1: ADB-PAL-05	1,729,900.00					
	Lot 2: ADB-PAL-06	99,200.00					
	Lot 3: ADB-PAL-07	1,272,300.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 4: ADB-PAL-08	482,600.00					
	Lot 5: ADB-PAL-09	1,122,700.00					
	Lot 6: ADB-PAL-10	1,080,100.00					
22 (KON-ADB-RAI/08)	Improvement/Up grading and maintenance of rural roads in Raigad District/PIU	6,549,000.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 8 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-RAI-07	1,568,700.00					
	Lot 2: ADB-RAI-08	330,200.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 3: ADB-RAI-09	550,100.00					
	Lot 4: ADB-RAI-10	573,700.00					
	Lot 5: ADB-RAI-11	1,255,300.00					
	Lot 6: ADB-RAI-12	638,500.00					
	Lot 7: ADB-RAI-14	465,300.00					
	Lot 8: ADB-RAI-15	1,167,200.00					
23 (KON-ADB-RAT/09)	Improvement/Up grading and maintenance of rural roads in Ratnagiri District/PIU	12,341,500.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 9 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 1: ADB-RAT-07	1,010,700.00					
	Lot 2: ADB-RAT-08	986,900.00					
	Lot 3: ADB-RAT-09	1,265,400.00					
	Lot 4: ADB-RAT-10	1,665,600.00					
	Lot 5: ADB-RAT-11	1,639,600.00					
	Lot 6: ADB-RAT-12	1,600,200.00					
	Lot 7: ADB-RAT-13	1,148,400.00					
	Lot 8: ADB-RAT-14	1,878,100.00					
	Lot 9: ADB-RAT-15	1,146,600.00					
24 (KON-ADB-SIN/06)	Improvement/Up grading and maintenance of rural roads in Sindhudurg District/PIU	8,468,700.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 6 Prequalification of Bidders: No Domestic Preference Applicable: No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 1: ADB-SIN-07 Lot 2: ADB-SIN-08 Lot 3: ADB-SIN-09 Lot 4: ADB-SIN-10 Lot 5: ADB-SIN-11 Lot 6: ADB-SIN-12	1,753,700.00 1,544,400.00 1,225,200.00 1,694,300.00 1,497,000.00 754,100.00					Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
25 (KON-ADB-THA/03)	Improvement/Up grading and maintenance of rural roads in Thane District/PIU	2,120,800.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 3 Prequalification of Bidders: No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 1: ADB-THA-07 Lot 2: ADB-THA-08 Lot 3: ADB-THA-09	1,536,200.00 148,700.00 435,900.00					Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
26 (NAG-ADB-BHA/08)	Improvement/Up grading and maintenance of rural roads in Bhandara District/PIU	8,200,600.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 8 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 1: ADB-BHA-07 Lot 2: ADB-BHA-08 Lot 3: ADB-BHA-09 Lot 4: ADB-BHA-10 Lot 5: ADB-BHA-11 Lot 6: ADB-BHA-12 Lot 7: ADB-BHA-13 Lot 8: ADB-BHA-14	898,400.00 1,332,800.00 1,535,000.00 598,200.00 1,450,800.00 679,600.00 929,200.00 776,600.00					e-GP Type: e-Bidding Covid-19 Response? No
27 (NAG-ADB-CHA/07)	Improvement/Up grading and maintenance of rural roads in Chandrapur District/PIU	5,363,200.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 7 Prequalification of Bidders: No Domestic Preference

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	<p>Lot 1: ADB-CHA-08</p> <p>Lot 2: ADB-CHA-09</p> <p>Lot 3: ADB-CHA-10</p> <p>Lot 4: ADB-CHA-11</p> <p>Lot 5: ADB-CHA-12</p> <p>Lot 6: ADB-CHA-13</p> <p>Lot 7: ADB-CHA-14</p>	<p>595,400.00</p> <p>192,800.00</p> <p>626,600.00</p> <p>1,263,600.00</p> <p>870,700.00</p> <p>455,600.00</p> <p>1,358,500.00</p>					<p>Applicable: No</p> <p>Advance Contracting: Yes</p> <p>Bidding Document: Others</p> <p>High Risk Contract: No</p> <p>e-GP: Yes</p> <p>e-GP Type: e-Bidding</p> <p>Covid-19 Response? No</p>
28 (NAG-ADB-GAD/02)	Improvement/Up grading and maintenance of rural roads in Gadchiroli District/PIU	950,900.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	<p>Non-Consulting Services: No</p> <p>Advertising: National</p>

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 1: ADB-GAD-09 Lot 2: ADB-GAD-17	253,700.00 697,200.00					No. Of Contracts: 2 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
29 (NAG-ADB-GON/07)	Improvement/Up grading and maintenance of rural roads in Gondia District/PIU	8,255,400.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 7 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 1: ADB-GON-08 Lot 2: ADB-GON-09 Lot 3: ADB-GON-10 Lot 4: ADB-GON-11 Lot 5: ADB-GON-12 Lot 6: ADB-GON-13 Lot 7: ADB-GON-14	1,022,300.00 495,900.00 1,399,200.00 1,443,500.00 1,223,300.00 1,381,200.00 1,290,000.00					e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
30 (NAG-ADB-NAG/12)	Improvement/Up grading and maintenance of rural roads in Nagpur District/PIU	12,022,800.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 12 Prequalification of Bidders: No Domestic Preference Applicable: No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							Advance Contracting: Yes
							Bidding Document: Others
							High Risk Contract: No
							e-GP: Yes
							e-GP Type: e-Bidding
							Covid-19 Response? No
	Lot 1: ADB-NAG-11	748,000.00					
	Lot 2: ADB-NAG-14	1,431,300.00					
	Lot 3: ADB-NAG-15	250,400.00					
	Lot 4: ADB-NAG-16	807,400.00					
	Lot 5: ADB-NAG-17	1,388,600.00					
	Lot 6: ADB-NAG-18	1,528,800.00					
	Lot 7: ADB-NAG-18	531,300.00					
	Lot 8: ADB-NAG-20	501,000.00					
	Lot 9: ADB-NAG-21	1,555,500.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 10: ADB-NAG-22	898,200.00					
	Lot 11: ADB-NAG-23	1,288,300.00					
	Lot 12: ADB-NAG-24	1,094,000.00					
31 (NAG-ADB-WAR/07)	Improvement/Up grading and maintenance of rural roads in Wardha District/PIU	9,341,700.00	OCB	Post (Sampling)	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 7 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-WAR-07	1,111,900.00					
	Lot 2: ADB-WAR-08	1,123,000.00					
	Lot 3: ADB-WAR-09	942,900.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 4: ADB-WAR-10	1,950,300.00					
	Lot 5: ADB-WAR-11	2,013,100.00					
	Lot 6: ADB-WAR-12	1,125,000.00					
	Lot 7: ADB-WAR-13	1,075,500.00					
32 (NAS-ADB-AHM/11)	Improvement/Up grading and maintenance of rural roads in Ahmednagar District/PIU	15,632,900.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 11 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-AHM-10	1,303,200.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 2: ADB-AHM-11	1,143,200.00					
	Lot 3: ADB-AHM-12	968,100.00					
	Lot 4: ADB-AHM-13	1,351,100.00					
	Lot 5: ADB-AHM-14	1,285,700.00					
	Lot 6: ADB-AHM-15	1,669,600.00					
	Lot 7: ADB-AHM-16	1,856,400.00					
	Lot 8: ADB-AHM-17	1,597,800.00					
	Lot 9: ADB-AHM-18	932,100.00					
	Lot 10: ADB-AHM-19	1,975,000.00					
	Lot 11: ADB-AHM-20	1,550,700.00					
33 (NAS-ADB-DHU/07)	Improvement/Up grading and maintenance of rural roads in Dhule District/PIU	6,968,700.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 7 Prequalification of Bidders: No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-DHU-07	1,032,400.00					
	Lot 2: ADB-DHU-08	1,340,300.00					
	Lot 3: ADB-DHU-09	772,800.00					
	Lot 4: ADB-DHU-10	1,220,600.00					
	Lot 5: ADB-DHU-11	1,413,300.00					
	Lot 6: ADB-DHU-12	445,800.00					
	Lot 7: ADB-DHU-13	743,500.00					
34 (NAS-ADB-JLG/10)	Improvement/Up grading and maintenance of rural roads in	10,410,800.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Jalgaon District/PIU						Advertising: National No. Of Contracts: 10 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-JLG-07	604,700.00					
	Lot 2: ADB-JLG-08	410,600.00					
	Lot 3: ADB-JLG-09	683,900.00					
	Lot 4: ADB-JLG-10	1,150,500.00					
	Lot 5: ADB-JLG-11	802,500.00					
	Lot 6: ADB-JLG-12	1,211,600.00					
	Lot 7: ADB-JLG-13	1,880,700.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 8: ADB-JLG-14	1,359,100.00					
	Lot 9: ADB-JLG-15	1,361,900.00					
	Lot 10: ADB-JLG-16	945,300.00					
35 (NAS-ADB-NDR/05)	Improvement/Up grading and maintenance of rural roads in Nandurbar District/PIU	5,795,200.00	OCB	Prior	1S2E	Q4 / 2020	<p>Non-Consulting Services: No</p> <p>Advertising: National</p> <p>No. Of Contracts: 5</p> <p>Prequalification of Bidders: No</p> <p>Domestic Preference Applicable: No</p> <p>Advance Contracting: Yes</p> <p>Bidding Document: Others</p> <p>High Risk Contract: No</p> <p>e-GP: Yes</p> <p>e-GP Type: e-Bidding</p> <p>Covid-19 Response? No</p>
	Lot 1: ADB-NDR-08	1,360,600.00					
	Lot 2: ADB-NDR-09	1,300,400.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 3: ADB-NDR-10	733,200.00					
	Lot 4: ADB-NDR-11	879,400.00					
	Lot 5: ADB-NDR-12	1,521,600.00					
36 (NAS-ADB-NAS/07)	Improvement/Up grading and maintenance of rural roads in Nashik District/PIU	9,926,600.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 7 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-NAS-09	436,600.00					
	Lot 2: ADB-NAS-10	1,981,600.00					
	Lot 3: ADB-NAS-11	1,305,700.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 4: ADB-NAS-12	2,230,100.00					
	Lot 5: ADB-NAS-13	2,041,200.00					
	Lot 6: ADB-NAS-14	744,600.00					
	Lot 7: ADB-NAS-15	1,186,800.00					
37(PUN-ADB-PUN/10)	Improvement/Up grading and maintenance of rural roads in Pune District/PIU	13,867,600.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 10 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-PUN-09	1,966,300.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 2: ADB-PUN-10	1,694,300.00					
	Lot 3: ADB-PUN-11	1,699,000.00					
	Lot 4: ADB-PUN-12	1,339,900.00					
	Lot 5: ADB-PUN-13	855,000.00					
	Lot 6: ADB-PUN-14	1,162,000.00					
	Lot 7: ADB-PUN-15	722,900.00					
	Lot 8: ADB-PUN-16	1,880,400.00					
	Lot 9: ADB-PUN-17	981,200.00					
	Lot 10: ADB-PUN-18	1,566,600.00					
38 (PUN-ADB-SAN/08)	Improvement/Up grading and maintenance of rural roads in Sangli District/PIU	9,457,300.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 8 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting:

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-SAN-06	1,035,800.00					
	Lot 2: ADB-SAN-07	953,100.00					
	Lot 3: ADB-SAN-08	1,259,500.00					
	Lot 4: ADB-SAN-09	1,509,100.00					
	Lot 5: ADB-SAN-10	951,300.00					
	Lot 6: ADB-SAN-11	746,300.00					
	Lot 7: ADB-SAN-12	1,190,000.00					
	Lot 8: ADB-SAN-13	1,812,200.00					
39 (PUN-ADB-SAT/09)	Improvement/Up grading and maintenance of rural roads in Satara	8,497,300.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	District/PIU						Advertising: National No. Of Contracts: 9 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-SAT-08	476,600.00					
	Lot 2: ADB-SAT-09	987,400.00					
	Lot 3: ADB-SAT-10	1,471,000.00					
	Lot 4: ADB-SAT-11	457,900.00					
	Lot 5: ADB-SAT-12	1,327,300.00					
	Lot 6: ADB-SAT-13	792,300.00					
	Lot 7: ADB-SAT-14	726,300.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 8: ADB-SAT-15	1,304,600.00					
	Lot 9: ADB-SAT-16	953,900.00					
40 (PUN-ADB-KOL/08)	Improvement/Up grading and maintenance of rural roads in Kolhapur District/PIU	5,902,800.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 8 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-KOL-08	747,800.00					
	Lot 2: ADB-KOL-09	1,090,300.00					
	Lot 3: ADB-KOL-10	790,700.00					
	Lot 4: ADB-KOL-11	490,800.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 5: ADB-KOL-12	249,500.00					
	Lot 6: ADB-KOL-13	705,700.00					
	Lot 7: ADB-KOL-14	787,000.00					
	Lot 8: ADB-KOL-15	1,041,000.00					
40 (PUN-ADB-SOL/10)	Improvement/Up grading and maintenance of rural roads in Solapur District/PIU	12,334,500.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 10 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No
	Lot 1: ADB-SOL-11	1,045,500.00					

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
	Lot 2: ADB-SOL-12	1,318,000.00					
	Lot 3: ADB-SOL-13	1,490,800.00					
	Lot 4: ADB-SOL-14	1,261,900.00					
	Lot 5: ADB-SOL-15	1,305,700.00					
	Lot 6: ADB-SOL-16	1,098,400.00					
	Lot 7: ADB-SOL-17	1,052,000.00					
	Lot 8: ADB-SOL-19	1,219,700.00					
	Lot 9: ADB-SOL-20	1,131,200.00					
	Lot 10: ADB-SOL-21	1,411,300.00					
BR01 (AKO-ADB-BR-05)	Construction and maintenance of Bridges in Amaravati District/PIU	649,800.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting:

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							<p>Yes</p> <p>Bidding Document: Others</p> <p>High Risk Contract: No</p> <p>e-GP: Yes</p> <p>e-GP Type: e-Bidding</p> <p>Covid-19 Response? No</p> <p>Comments: Package rep of AMR region under prior review.</p>
BR02 (JLN-ADB-BR-05)	Construction and maintenance of Bridges in Aurangabad District/PIU	185,800.00	OCB	Prior	1S2E	Q4 / 2020	<p>Non-Consulting Services: No</p> <p>Advertising: National</p> <p>No. Of Contracts: 1</p> <p>Prequalification of Bidders: No</p> <p>Domestic Preference Applicable: No</p> <p>Advance Contracting: Yes</p> <p>Bidding Document: Others</p> <p>High Risk Contract: No</p> <p>e-GP: Yes</p> <p>e-GP Type: e-Bidding</p> <p>Covid-19 Response? No</p> <p>Comments: Package rep of AUR region under prior review.</p>

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
BR03 (RAI-ADB-BR-02)	Construction and maintenance of Bridges in Konkan District/PIU	418,400.00	OCB	Prior	1S2E	Q4 / 2020	<p>Non-Consulting Services: No</p> <p>Advertising: National</p> <p>No. Of Contracts: 1</p> <p>Prequalification of Bidders: No</p> <p>Domestic Preference Applicable: No</p> <p>Advance Contracting: Yes</p> <p>Bidding Document: Others</p> <p>High Risk Contract: No</p> <p>e-GP: Yes</p> <p>e-GP Type: e-Bidding</p> <p>Covid-19 Response? No</p> <p>Comments: Package rep of KON region under prior review.</p>
BR04 (NAG-ADB-BR-01)	Construction and maintenance of Bridges in Nagpur Region/PIU	246,700.00	OCB	Prior	1S2E	Q4 / 2020	<p>Non-Consulting Services: No</p> <p>Advertising: National</p> <p>No. Of Contracts: 1</p> <p>Prequalification of Bidders: No</p> <p>Domestic Preference Applicable: No</p> <p>Advance Contracting: Yes</p>

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: Package rep of NAG region under prior review.
BR05 (JLG-ADB-BR-05)	Construction and maintenance of Bridges in Nashik Region/PIU	443,900.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: Package rep of NAS region under prior review.

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
BR06 (SOL-ADB-BR-05)	Construction and maintenance of Bridges in Pune Region/PIU	461,100.00	OCB	Prior	1S2E	Q4 / 2020	Non-Consulting Services: No Advertising: National No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Others High Risk Contract: No e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: Package rep of PUN region under prior review.

Consulting Services							
Package Number	General Description	Estimated Value (in US\$)	Selection Method	Review	Type of Proposal	Advertisement Date (quarter/year)	Comments
None							

C. List of Indicative Packages (Contracts) Required Under the Project

The following table lists goods, works, non-consulting and consulting services contracts for which procurement activity is expected to commence beyond the procurement plan duration and over the life of the project (i.e., those expected beyond the current procurement plan duration).

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 1: AMR-ADB-BR-01 Lot 2: AMR-ADB-BR-02 Lot 3: AMR-ADB-BR-03 Lot 4: AMR-ADB-BR-04 Lot 5: AMR-ADB-BR-05 Lot 6: AMR-ADB-BR-06 Lot 7: AMR-ADB-BR-07	662,300.00 679,500.00 159,700.00 524,100.00 651,500.00 871,400.00 410,700.00				e-GP: Yes Covid-19 Response? No
BR09 (AMR-ADB-BUL-BR/02)	Construction and maintenance of Bridges in Buldhana District/PIU	673,400.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 2 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 1: BUL-ADB-BR 01 Lot 2: BUL-ADB-BR 02	226,400.00 447,000.00				Covid-19 Response? No
BR10 (AMR-ADB-WAS-BR/03)	Construction and maintenance of Bridges in Washim District/PIU	653,700.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 3 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: WAS-ADB-BR 01 Lot 2: WAS-ADB-BR 02 Lot 3: WAS-ADB-BR 03	57,000.00 91,600.00 505,100.00				
BR11 (AMR-ADB-YAV-BR/02)	Construction and maintenance of Bridges in Yavatmal District/PIU	685,100.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 2

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	<p>Lot 1: WAS-ADB-BR 01</p> <p>Lot 2: WAS-ADB-BR 02</p>	<p>429,200.00</p> <p>255,900.00</p>				<p>Prequalification of Bidders: No</p> <p>Domestic Preference Applicable: No</p> <p>Bidding Document: Others</p> <p>e-GP: Yes</p> <p>Covid-19 Response? No</p>
BR12 (AUR-ADB-AUR-BR/06)	Construction and maintenance of Bridges in Aurangabad District/PIU	2,439,600.00	OCB	Post (Sampling)	1S2E	<p>Non-Consulting Services: No</p> <p>Advertising Type: National</p> <p>No. Of Contracts: 6</p> <p>Prequalification of Bidders: No</p> <p>Domestic Preference Applicable: No</p> <p>Bidding Document: Others</p> <p>e-GP: Yes</p> <p>Covid-19 Response? No</p>
	<p>Lot 1: AUR-ADB-BR 01</p> <p>Lot 2: AUR-ADB-BR 02</p>	<p>298,000.00</p> <p>94,600.00</p>				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 3: AUR-ADB-BR 03	403,600.00				
	Lot 4: AUR-ADB-BR 04	464,200.00				
	Lot 5: AUR-ADB-BR 05	972,600.00				
	Lot 6: AUR-ADB-BR 06	206,600.00				
BR13 (AUR-ADB-BEE-BR/06)	Construction and maintenance of Bridges in Beed District/PIU	2,778,200.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 6 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: BEE-ADB-BR 01	478,500.00				
	Lot 2: BEE-ADB-BR 02	375,800.00				
	Lot 3: BEE-ADB-BR 03	422,400.00				

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Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 1: JLN-ADB-BR 01 Lot 2: JLN-ADB-BR 02 Lot 3: JLN-ADB-BR 03 Lot 4: JLN-ADB-BR 04	217,600.00 217,500.00 699,500.00 450,100.00				Bidding Document: Others e-GP: Yes Covid-19 Response? No
BR16 (AUR-ADB-LAT-BR/04)	Construction and maintenance of Bridges in Latur District/PIU	2,446,500.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 4 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: LAT-ADB-BR 01	686,600.00				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 2: LAT-ADB-BR 02	815,700.00				
	Lot 3: LAT-ADB-BR 03	677,000.00				
	Lot 4: LAT-ADB-BR 04	267,200.00				
BR17 (AUR-ADB-NDD-BR/08)	Construction and maintenance of Bridges in Nanded District/PIU	2,900,600.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 8 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: NDD-ADB-BR 01	686,700.00				
	Lot 2: NDD-ADB-BR 02	294,000.00				
	Lot 3: NDD-ADB-BR 01	139,500.00				
	Lot 4: NDD-ADB-BR 04	288,400.00				
	Lot 5: NDD-ADB-BR 05	343,700.00				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 6: NDD-ADB-BR 06	504,000.00				
	Lot 7: NDD-ADB-BR 07	183,200.00				
	Lot 8: NDD-ADB-BR 08	461,100.00				
BR18 (AUR-ADB-OSM-BR/04)	Construction and maintenance of Bridges in Osmanabad District/PIU	5,127,500.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 4 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: OSM-ADB-BR 01	1,105,200.00				
	Lot 2: OSM-ADB-BR 02	1,718,200.00				
	Lot 3: OSM-ADB-BR 03	1,380,500.00				
	Lot 4: OSM-ADB-BR 04	923,600.00				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 1: PAL-ADB-BR 01 Lot 2: PAL-ADB-BR 02 Lot 3: PAL-ADB-BR 03 Lot 4: PAL-ADB-BR 04 Lot 5: PAL-ADB-BR 05	402,000.00 508,300.00 342,400.00 538,200.00 509,400.00				e-GP: Yes Covid-19 Response? No
BR21 (KON-ADB-RAI-BR/03)	Construction and maintenance of Bridges in Raigad District/PIU	1,417,900.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 3 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: RAI-ADB-BR 01	279,600.00				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 2: RAI-ADB-BR 03	503,100.00				
	Lot 3: RAI-ADB-BR 04	635,200.00				
BR22 (KON-ADB-SIN-BR/03)	Construction and maintenance of Bridges in Sindhudurg District/PIU	1,790,300.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 3 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: SIN-ADB-BR 01	860,600.00				
	Lot 2: SIN-ADB-BR 02	316,900.00				
	Lot 3: SIN-ADB-BR 03	612,800.00				
BR23 (NAG-ADB-BHA-BR/07)	Construction and maintenance of Bridges in Bhandara District/PIU	3,910,700.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 7 Prequalification of Bidders: No

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	<p>Lot 1: BHA-ADB-BR 01</p> <p>Lot 2: BHA-ADB-BR 02</p> <p>Lot 3: BHA-ADB-BR 03</p> <p>Lot 4: BHA-ADB-BR 04</p> <p>Lot 5: BHA-ADB-BR 05</p> <p>Lot 6: BHA-ADB-BR 06</p> <p>Lot 7: BHA-ADB-BR 07</p>	<p>384,700.00</p> <p>373,200.00</p> <p>315,800.00</p> <p>202,100.00</p> <p>918,200.00</p> <p>919,100.00</p> <p>797,600.00</p>				<p>Domestic Preference Applicable: No</p> <p>Bidding Document: Others</p> <p>e-GP: Yes</p> <p>Covid-19 Response? No</p>
BR24 (NAG-ADB-CHA-BR/08)	Construction and maintenance of Bridges in Chandrapur District/PIU	3,249,800.00	OCB	Post (Sampling)	1S2E	<p>Non-Consulting Services: No</p> <p>Advertising Type: National</p> <p>No. Of Contracts: 8</p> <p>Prequalification of Bidders: No</p> <p>Domestic Preference</p>

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 1: CHA-ADB-BR 01 Lot 2: CHA-ADB-BR 02 Lot 3: CHA-ADB-BR 03 Lot 4: CHA-ADB-BR 04 Lot 5: CHA-ADB-BR 05 Lot 6: CHA-ADB-BR 06 Lot 7: CHA-ADB-BR 07 Lot 8: CHA-ADB-BR 08	333,600.00 413,000.00 609,800.00 860,500.00 164,000.00 193,400.00 256,000.00 419,500.00				Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
BR25 (NAG-ADB-GAD-BR/02)	Construction and maintenance of Bridges in Gadchroli District/PIU	795,800.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 2 Prequalification of Bidders: No

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	<p>Lot 1: GAD-ADB-BR 01</p> <p>Lot 2: GAD-ADB-BR 02</p>	<p>312,500.00</p> <p>483,300.00</p>				<p>Domestic Preference Applicable: No</p> <p>Bidding Document: Others</p> <p>e-GP: Yes</p> <p>Covid-19 Response? No</p>
BR26 (NAG-ADB-GON-BR/07)	Construction and maintenance of Bridges in Gondia District/PIU	4,533,700.00	OCB	Post (Sampling)	1S2E	<p>Non-Consulting Services: No</p> <p>Advertising Type: National</p> <p>No. Of Contracts: 7</p> <p>Prequalification of Bidders: No</p> <p>Domestic Preference Applicable: No</p> <p>Bidding Document: Others</p> <p>e-GP: Yes</p> <p>Covid-19 Response? No</p>
	Lot 1: GON-ADB-BR 01	373,700.00				
	Lot 2: GON-ADB-BR 02	665,100.00				
	Lot 3: GON-ADB-	156,000.00				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	BR 03					
	Lot 4: GON-ADB-BR 04	642,400.00				
	Lot 5: GON-ADB-BR 05	978,700.00				
	Lot 6: GON-ADB-BR 06	1,063,700.00				
	Lot 7: GON-ADB-BR 07	654,100.00				
BR27 (NAG-ADB-NAG-BR/02)	Construction and maintenance of Bridges in Nagpur District/PIU	1,528,100.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 2 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: NAG-ADB-BR 02	731,500.00				
	Lot 2: NAG-ADB-BR 03	796,600.00				
BR28 (NAG-ADB-WAR-BR/14)	Construction and maintenance of Bridges in Wardha District/PIU	5,405,700.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
						Advertising Type: National No. Of Contracts: 14 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: WAR-ADB-BR 01	206,300.00				
	Lot 2: WAR-ADB-BR 02	386,200.00				
	Lot 3: WAR-ADB-BR 03	460,500.00				
	Lot 4: WAR-ADB-BR 04	180,700.00				
	Lot 5: WAR-ADB-BR 05	291,000.00				
	Lot 6: WAR-ADB-BR 06	292,700.00				
	Lot 7: WAR-ADB-BR 07	327,100.00				
	Lot 8: WAR-ADB-BR 08	380,600.00				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 9: WAR-ADB-BR 09	301,000.00				
	Lot 10: WAR-ADB-BR 10	655,700.00				
	Lot 11: WAR-ADB-BR 11	757,400.00				
	Lot 12: WAR-ADB-BR 12	305,500.00				
	Lot 13: WAR-ADB-BR 13	134,100.00				
	Lot 14: WAR-ADB-BR 14	726,900.00				
BR29 (NAS-ADB-AHM-BR/02)	Construction and maintenance of Bridges in Ahmednagar District/PIU	2,275,700.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 2 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: AHM-ADB-BR 01	1,654,300.00				
	Lot 2: AHM-ADB-BR 02	621,400.00				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
BR30 (NAS-ADB-DHU-BR/05)	Construction and maintenance of Bridges in Dhule District/PIU	4,154,400.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No
						Advertising Type: National
						No. Of Contracts: 5
						Prequalification of Bidders: No
						Domestic Preference Applicable: No
						Bidding Document: Others
						e-GP: Yes
						Covid-19 Response? No
	Lot 1: DHU-ADB-BR 01	750,800.00				
	Lot 2: DHU-ADB-BR 02	747,700.00				
	Lot 3: DHU-ADB-BR 03	1,132,600.00				
	Lot 4: DHU-ADB-BR 04	406,400.00				
	Lot 5: DHU-ADB-BR 05	1,116,900.00				
BR31 (NAS-ADB-JLG-BR/04)	Construction and maintenance of Bridges in Jalgaon District/PIU	4,599,700.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No
						Advertising Type: National
						No. Of Contracts: 4
						Prequalification of Bidders: No

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 1: JLG-ADB-BR 01 Lot 2: JLG-ADB-BR 02 Lot 3: JLG-ADB-BR 03 Lot 4: JLG-ADB-BR 04	1,073,600.00 1,109,100.00 1,210,900.00 1,206,100.00				Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
BR32 (NAS-ADB-NDR-BR/05)	Construction and maintenance of Bridges in Nandurbar District/PIU	3,984,300.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 5 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: NDR-ADB-	1,117,200.00				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	BR 01					
	Lot 2: NDR-ADB-BR 02	927,900.00				
	Lot 3: NDR-ADB-BR 03	597,000.00				
	Lot 4: NDR-ADB-BR 04	920,400.00				
	Lot 5: NDR-ADB-BR 05	421,800.00				
BR33 (NAS-ADB-NAS-BR/03)	Construction and maintenance of Bridges in Nashik District/PIU	4,011,000.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 3 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: NAS-ADB-BR 01	573,900.00				
	Lot 2: NAS-ADB-BR 02	934,800.00				
	Lot 3: NAS-ADB-BR 03	2,502,300.00				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
BR34 (PUN-ADB-PUN-BR/02)	Construction and maintenance of Bridges in Pune District/PIU	1,133,700.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 2 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: PUN-ADB-BR 01	700,300.00				
	Lot 2: PUN-ADB-BR 02	433,400.00				
BR35 (ADB-SAN-BR 01)	Construction and maintenance of Bridges in Sangli District/PIU	716,500.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
BR36 (PUN-ADB-SOL-BR/11)	Construction and maintenance of Bridges in Solapur District/PIU	4,246,800.00	OCB	Post (Sampling)	1S2E	Non-Consulting Services: No Advertising Type: National No. Of Contracts: 11 Prequalification of Bidders: No Domestic Preference Applicable: No Bidding Document: Others e-GP: Yes Covid-19 Response? No
	Lot 1: SOL-ADB-BR 01	338,900.00				
	Lot 2: SOL-ADB-BR 02	224,400.00				
	Lot 3: SOL-ADB-BR 03	942,500.00				
	Lot 4: SOL-ADB-BR 04	549,700.00				
	Lot 5: SOL-ADB-BR 06	244,600.00				
	Lot 6: SOL-ADB-BR 07	332,100.00				
	Lot 7: SOL-ADB-BR 08	500,500.00				

Goods and Works						
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments
	Lot 8: SOL-ADB-BR 09	338,800.00				
	Lot 9: SOL-ADB-BR 10	273,900.00				
	Lot 10: SOL-ADB-BR 11	319,300.00				
	Lot 11: SOL-ADB-BR 12	182,100.00				

Consulting Services						
Package Number	General Description	Estimated Value (in US\$)	Selection Method	Review	Type of Proposal	Comments
CS-01	Impact evaluation (end-line survey)	50,000.00	ICS	Prior		Non-Consulting Services: No Type: Individual Advertising: International Expertise: Impact evaluation study e-GP: No Covid-19 Response? No
CS-02	Impact evaluation (end-line survey)	150,000.00	ICS	Prior		Non-Consulting Services: No Type: Individual Advertising: National Expertise: Impact evaluation study e-GP: No Covid-19 Response? No

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Attachment D: Summary Reporting Form on Technical Bid Evaluation

Note: This is just a template for reporting to ADB on salient features of the Technical Bid Evaluation. This template may not be exhaustive and does not supersede the requirements of the Bidding Document and the full technical evaluation. In case of discrepancy between the Bidding Document and the template, the Bidding document will prevail.

Technical Bid Evaluation

Package No.	1					
Name of Road(s)	2	[List the names of all roads included in the contract package, specifying start and end points]				
District	3					
Estimated Cost (Rs. Lakhs)	Construction	4				
	Maintenance	5				
Total Estimated Cost (Rs. Lakhs)	6					
Construction period in years (Number)	7					
No. of bids downloaded	8					
No. of bids received	9					
Closing date for bid submission	10					
Bid Security Amount (Rs. Lakhs)	11					
Required Minimum Average Annual Construction Turnover	12					
Required Minimum Size of Contracts of Similar Size and Nature (one of two requirements)	13a (one contract)					
	13b (two contracts)					
Required Liquid Assets and/or Credit Facilities Available	14					
Required Minimum Bid Capacity	15					
Names of Bidders	16	[Insert name of bidder 1]	[Insert name of bidder 2]	[Insert name of bidder 3]	[Insert name of bidder 4]	[Insert name of bidder 5]
Amount of Bid Security Satisfied (Yes/No)	17					
Bid Validity of Bid Security Satisfied (Yes/No)	18					
Bid Submission Fee Paid (Yes/No)	19					
Submission of Affidavit for Correctness of Information (Yes/No)	20					
Single Entity (SE) or Joint Venture (JV)	21					
Letter of Intent or JV Agreement Provided (Yes/No)	22					
Nationality (Each Member of JV)	23					
Eligible for ADB-financed Contracts* (Yes/No)	24					
No Conflict of Interest Present (Yes/No)	25					
		[Insert name of bidder 1]	[Insert name of bidder 2]	[Insert name of bidder 3]	[Insert name of bidder 4]	[Insert name of bidder 5]
Government-owned Enterprise? (Yes/No)	26					

If Government-owned Enterprise: is it legally and financially autonomous, operate under commercial law, and not a dependent agency of the Purchaser? (Yes/No)		27					
Is Bidder eligible in accordance with ITB 3.3 (ADB Sanctions)? (Yes/No)		28					
Letter of Technical Bid duly signed by the Authorized Person? (Yes/No)		29					
Annual Construction Turnover during Last 5 years (Rs. Lakhs)	2013-14	30					
	2014-15	31					
	2015-16	32					
	2016-17	33					
	2017-18	34					
			[Insert name of bidder 1]	[Insert name of bidder 2]	[Insert name of bidder 3]	[Insert name of bidder 4]	[Insert name of bidder 5]
Minimum Annual Average Construction Turnover	Average Annual Construction Turnover over Last Five Years (Rs. Lakhs)	35					
	Satisfied the Requirement (Yes/No)	36					
Minimum Size of Contracts of Similar Nature	Actual Size (One Largest Contract)	37					
	OR Actual Size (Two Contract)	38					
	Satisfies the Requirement (Yes/No)	39					
Total Value of Existing Commitments, Works which are yet to be Completed & Work Awarded but not yet Started		40					
Requirement for Liquid Assets and/or Credit Facilities Satisfied (Yes/No)		41					
Minimum Key Equipment Requirement Satisfied (Yes/No)		42					
			[Insert name of bidder 1]	[Insert name of bidder 2]	[Insert name of bidder 3]	[Insert name of bidder 4]	[Insert name of bidder 5]
Minimum Key Personnel, Nos. & Required Qualification Satisfied (Yes/No)	Construction	43					
	Laboratory	44					
	Routine Maintenance	45					

Submission of Income Tax Permanent Account Number, Balance Sheet, Profit & Loss Statement, Auditors Report & Details of Liabilities (Yes/No)		46					
Submission of Information on Current Litigation (Yes/No)		47					
Submission of Proposed Methodology and Schedule (Yes/No)		48					
Submission of Affidavit for non Employment of Related Personnel of the Employer (Yes/No)		49					
Submission of Affidavit for non Employment of Retired (within 2 years) Department Official (Yes/No)		50					
			[Insert name of bidder 1]	[Insert name of bidder 2]	[Insert name of bidder 3]	[Insert name of bidder 4]	[Insert name of bidder 5]
Bid capacity (Rs. lakhs)	Max. Value of Civil Engineering works (A) in any one year in last 5 years	51					
	Existing commitments "B"	52					
	Bid capacity = $(A \times N \times M) - B$	53					
	Satisfies the requirement (Yes/No)	54					
Material Deviation, Omission or Reservation Found (Yes/No)		55					
Technically Qualified (Yes/No)		56					

Sd/.....

Sd/.....

Attachment E: Summary Reporting Form on Financial Bid Evaluation**[Draft template only]****Note: The template is not exhaustive.****The actual document shall report on all key findings and aspects of evaluation****English translated copy of original Bid Evaluation and Sanction Proceeding**(Original bid evaluation report has been prepared in Marathi language) **[this does not apply if the original report is prepared in English]****[Insert Name of the Evaluating Authority]**Analysis of Tenders invited for MMGSY, ADB **[insert loan number]****(Date of Meeting: [insert date])**

1. Package No: **[insert]**
2. District: **[insert]**
3. Block: **[insert]**
4. No/Date of Administrative Approval: **[insert]**
5. No/Date of Technical Sanction: **[insert]**
6. No/Date of N.I.T.: **[insert]**
7. Date of Receipt of Tender: **[insert]**
8. Cost as per Tender: **[insert]**
9. Earnest Money: **[insert]**
10. No. of Tenders sold: **[insert]**
No. of Tenders downloaded: **[insert]**
11. Date of Opening of Technical Bids: **[insert]**
12. Date of Opening of Financial Bids: **[insert]**
Place: **[insert]**

13. Details of Tenders Received

S.N.	Name and class of the contractor	Bid Capacity in Rs. Lakhs	Amount Quoted by Contractor	Comparison with the Engineer's estimate	Remarks
			Total: Construction: Maintenance:		

14. Whether Earnest Money found correct: **[insert Yes/No]**15. The Contractors who downloaded the Tender documents through website whether produced the Bank Draft towards Cost of Tender Document **[insert Yes/No]**

16. On opening of the technical bids following contractors are found disqualified Remaining contractors fulfill the essential requirements.

Name of the Contractor	Reason of Disqualification
------------------------	----------------------------

	[reason for disqualification should be provided in sufficient detail]
--	---

17. The financial offers submitted by the contractors were examined and found [Describe actual findings. Wording in the default case can be “found substantially responsive i.e., conform to all the terms, conditions, and specifications of the bidding documents, without material deviation, omission or reservation”]. If the financial bid is not substantially responsive, describe the material deviation, omission or reservation found

In case of the non-responsive financial bid, describe actions taken

18. Short Note regarding Financial Evaluation of Tenders Received

[Provide actual summary. Wording which can be used is: “For {describe the package}, {insert the number} contractors participated in the competition.

[Describe the findings of checking of substantially responsive bids by the Employer for any arithmetic errors, and actions taken if errors found; effect on bid prices]

The lowest bidder, {insert the name of the contractor} quoted Rs {insert the amount in figures and in words}. Indicate whether the amount was adjusted based on the checking for any arithmetical errors, or other specific conditions

For the lowest bidder:

{Provide check for aggregation. If the aggregation requirements are not met, record and check L2. If L2 meets the aggregation requirement, complete the documentation for L2, etc}. {Provide comparison of item rates quoted for construction and total cost with the Engineers estimate, make a conclusion}

{If quotes for routine maintenance are invited: Provide comparison of rates quoted for the routine maintenance with the Engineers estimate, make conclusion},

{Provide assessment of whether the bid was found seriously unbalanced or front loaded; if found, describe the action taken}.

{Provide comparison with the work program – consistent or not; if not, describe the action taken }.

{Provide general conclusion: recommended for award or not}}

[insert the name and position of the head of the tender evaluation committee/team; and title of the evaluation committee/team]

19. Analysis and Decision taken by the [Insert the Name of the Tender Sanction Authority]

[Describe the decision taken, and the basis for it].

[insert the name and position of each member of the Tender Sanction Authority]

Sd/.....

Sd/.....

Sd/.....

Attachment F: Sample Summary Sheet on Bid Evaluation and Contract Award
Loan [insert no.]: Maharashtra Rural Connectivity Improvement Project – Additional Financing as on [insert date]

[illegible]

Attachment G: Certified Summary Sheet Reporting on the Main Aspects of the Bid Evaluation and Contract Award

Form of certified summary sheet reporting on the main aspects of the bid evaluation and contract award

[to be provided to ADB for all contracts, promptly upon award]

[illegible]

5																			

CERTIFIED BY:
Name, Position,
Agency

Attachment H: Gender Action Plan Implementation Monitoring Report

Evaluation period (quarter): _____

GAP Activities and Targets	Progress to Date		Issues and Challenges
	Progress for the Current Quarter (Activities and Achievements – quantitative and qualitative – for the current quarter)	Cumulative Progress (Activities and Achievements – quantitative and qualitative – for the past and current quarters)	
Output 1. Conditions and safety of selected rural roads improved and maintained			
Activity 1. Consider the specific needs of vulnerable users (Women including women headed households, girl students, children, elderly and disabled) ^a in the design and modification of roads.			
Target 1. Road design features installed in rural roads, e.g., speed bumps, bus-bays, adequately designed rumble strips when roads pass through habitation, schools, PHC or connect with main roads, zebra crossings, cautionary/informative signages (including police stations, petrol pumps, health centers, toilets), guard stones, paved shoulders used for safe sidewalks, pavement markings, disabled hazard markers, etc.			
Activity 2. Involve women from the local communities including self-help groups and elected women representatives in project areas during project design and implementation.			
Target 2. At least 25% women participated in project orientation, planning and design of projects. (Baseline 0%)			
Target 3. Database of participants for all consultation meetings with disaggregated data details including sex, age, address, disability (if applicable).			

GAP Activities and Targets	Progress to Date		Issues and Challenges
	Progress for the Current Quarter (Activities and Achievements – quantitative and qualitative – for the current quarter)	Cumulative Progress (Activities and Achievements – quantitative and qualitative – for the past and current quarters)	
Target 4. At least 25% of participants of transect walks are women.			
Activity 3. Promote women's representation and active participation in the GRCs			
Target 5. At least 30% members in GRCs are women. (Baseline 0%)			
Target 6. Monitoring reports of GRC such as minutes of meeting with gender disaggregated database of participants exhibiting 30% of GRC members with active participation are women.			
Activity 4. Hire women workers in road construction and maintenance.			
Target 7. All contract works documents including EOI/TORs prepared by contractors to include requirements/ provisions for employing at least 25% women.			
Target 8. Contractors report sex disaggregated labor data.			
Target 9. At least 25% of workers hired in road construction works and maintenance are women. (Baseline 0%)			
Activity 5. Ensure that contract documents prohibit the hiring of child labor and ensure implementation of national core labor standards such as equal pay for work of equal value, and protection of women workers from all forms of discrimination including sexual harassment at workplace.			

GAP Activities and Targets	Progress to Date		Issues and Challenges
	Progress for the Current Quarter (Activities and Achievements – quantitative and qualitative – for the current quarter)	Cumulative Progress (Activities and Achievements – quantitative and qualitative – for the past and current quarters)	
Target 10. Explicit provisions prohibiting child labor, and implementation of national core labor standards such as equal pay for work of equal value, and protection of women workers from all forms of discrimination and harassment.			
Output 2. Capacity of rural infrastructure agency, and awareness among road users in the State enhanced			
Activity 6. Orient girl students, women teachers and parents, AWWs on road safety; and create awareness on gender-based violence (including sexual exploitation and human trafficking and STI prevention).			
Target 11. At least 50% students, teachers and parents (at least 30% girls/women) from schools along the project road acquired knowledge on road safety. (Baseline 0%)			
Target 12. At least 50% students, teachers and parents (at least 30% girls/women) from schools along the project road acquired knowledge on gender-based violence (including sexual exploitation and human trafficking and STI prevention). (Baseline 0%)			
Activity 7. Enhance skills of women workers in project areas on road construction and maintenance			
Target 13. At least 50% of eligible women workers ^b in project areas acquired skills on road construction and maintenance.			
Target 14. A post training assessment survey conducted to assess how women evaluate acquired skills and confidence on road construction and maintenance after the training.			

GAP Activities and Targets	Progress to Date		Issues and Challenges
	Progress for the Current Quarter (Activities and Achievements – quantitative and qualitative – for the current quarter)	Cumulative Progress (Activities and Achievements – quantitative and qualitative – for the past and current quarters)	
Activity 8. Recruit women staff and enhance technical capacities of MRRDA women staff in project.			
Target 15. Increase recruitment of women staff in PIU and PMU (at least 33%)			
Target 16. At least 75% of all MMRDA women staff including engineers in project increase knowledge and skills on road safety awareness, road asset management, contract management, financial management, climate-resilient design and construction. (Baseline 0%)			
Target 17. A post training assessment survey conducted to assess how women staff evaluate acquired knowledge and skills.			
Activity 9. Collect, collate and analyze sex-disaggregated data including data on labor, staff, and all orientations and training.			
Target 18. Sex disaggregated data collected, collated and analyzed on labor in construction, maintenance, women participation at project level, orientation/ training and staff. All monitoring reports to include sex disaggregated data and gender action plan achievement.			
Activity 10. Train PMU, PIUs, and other stakeholders in GAP implementation, monitoring and reporting.			
Target 19. MRRDA project staff including MRRDA, PMU, DOs, PIU staff oriented on gender issues in the sector; gender mainstreaming strategies, project GAP implementation, monitoring and reporting. [Target: At least 75% of staff oriented including Executive Engineers/Gender Focal Points] (Baseline: 1,395 staff)			

GAP Activities and Targets	Progress to Date		Issues and Challenges
	Progress for the Current Quarter (Activities and Achievements – quantitative and qualitative – for the current quarter)	Cumulative Progress (Activities and Achievements – quantitative and qualitative – for the past and current quarters)	
Activity 11. Monitor and Report on project GAP implementation			
Target 20. Executive engineers designated/nominated as gender focal points to oversee the implementation, monitoring and reporting of GAP. [Target: Total 7; one in PMU and one in each of the six regions]			
Target 21. Dedicated gender and social expert mobilized full time in MRRDA through PISC and budget established for implementation, monitoring and reporting of GAP. [Target: one gender and social specialist in PMU and one in each of the six regions; budget for GAP activity implementation across all locations]			
Target 22. GAP progress monitored regularly and reported every quarter with the project QPRs.			
Target 23. Gender indicators included in PPMS and regularly updated with sex disaggregated data.			
Target 24. Combined GAP completion report highlighting lesson learned submitted upon project completion.			
Activity 12. Develop and update manuals on construction and maintenance for rural road with gender inclusive design and climate resilient requirements			
Target 25. Manuals on maintenance and construction of rural roads that have gender inclusive design and climate resilient requirements.			

GAP Activities and Targets	Progress to Date		Issues and Challenges
	Progress for the Current Quarter (Activities and Achievements – quantitative and qualitative – for the current quarter)	Cumulative Progress (Activities and Achievements – quantitative and qualitative – for the past and current quarters)	
Activity 13. Collect, collate and analyze sex-disaggregated data including data on labor, staff, and all orientations and training.			
Target 26. Mainstream gender design features for impact evaluation of project achievements through gender analysis and beneficiary surveys, including collection of sex-disaggregated data on labour, staff, and all orientations and training.			

AWW = Anganwadi workers, DO = district office, EOI = expression of interest, GAP = gender action plan, GRC = grievance redress committee, GS = gender specialist, MRRDA = Maharashtra Rural Road Development Association, PPMS = project performance and monitoring system, PISC = project implementation support consultants, PIU = project implementation unit, PMU = project management unit, QPR = quarterly progress report, RCIP = Rural Connectivity Improvement Project, STI = sexually transmitted infection, TOR = Terms of Reference.

^a Rural connectivity to ensure safe institutional deliveries, reduce maternal and prenatal deaths and the mortality of children, and increase enrollment of girls in schools and universities. It will also enhance economic opportunities and safe mobility for women and girls.

^b Eligible workers are those who live in the project area and available for road works including those who can work only during agriculture lean seasons.

Source: Asian Development Bank.

Prepared by: _____

Date: _____

Attachment I: Environment Monitoring Report Template

Environmental Monitoring Report Outline

The borrower/client is required to prepare periodic monitoring reports that describe progress with implementation of the project EMP and compliance issues and corrective actions. A sample outline which can be adapted as necessary is provided below.

1. Introduction

- 1.1. Report Purpose
- 1.2. Project Implementation Progress

2. Incorporation of Environmental Requirements into Project Contractual Arrangements

Manner by which EMP requirements are incorporated into contractual arrangements, such as with contractors or other parties.

3. Summary of Environmental Mitigations and Compensation Measures Implemented

Based on EMP; may include measures related to air quality, water quality, noise quality, pollution prevention, biodiversity and natural resources, health and safety, physical cultural resources, capacity building, and others.

4. Summary of Environmental Monitoring

- 4.1. Compliance Inspections (if relevant)
 - 4.1.1. Summary of Inspection Activities
 - 4.1.2. Mitigation Compliance
 - 4.1.3. Mitigation Effectiveness
- 4.2. Emission Discharge (Source) Monitoring Program (if relevant)
 - 4.2.1. Summary of Monitoring
 - 4.2.2. Results
 - 4.2.3. Assessment
- 4.3. Ambient Monitoring Program (if relevant)
 - 4.3.1. Summary of Monitoring
 - 4.3.2. Results
 - 4.3.3. Assessment

5. Key Environmental Issues

- 5.1. Key Issues Identified
- 5.2. Action Taken
- 5.3. Additional Action Required

6. Conclusion

- 6.1. Overall Progress of Implementation of Environmental Management Measures
- 6.2. Problems Identified and Actions Recommended

Appendices

- 1. Site Inspection / Monitoring Reports
- 2. Ambient Monitoring Results
- 3. Photographs
- 4. Other