Bank Guidance

Procurement Hands-on Expanded Implementation Support

Bank Access to Information Policy Designation
Public

Catalogue Number
OPS5.05-GUID.175

Issued
March 4, 2019

Effective
March 4, 2019

Content
Guidance on how to provide HEIS to help Borrowers achieve the development objectives and outcomes of an IPF operation

Applicable to
IBRD, IDA

Issuer
Chief Procurement Officer, acting, OPSPR

Sponsor
Senior Procurement Specialist, OPSPR
SECTION I – PURPOSE AND APPLICATION

1. Guidance on how to provide procurement HEIS to help Borrowers achieve the development objectives and outcomes of an IPF operation.

2. This Guidance applies to the Bank.

SECTION II – DEFINITIONS AND ACRONYMS

As used in this Guidance, the capitalized terms and acronyms have the meaning set out: (a) in Section II of the Procurement Policy, Section II of the Procurement Directive, Section II of the Procurement Procedure, or (b) below.

1. **Probity Assurance Provider**: independent third party hired by the Borrower that provide specialist probity services for concurrent monitoring of the procurement process, as described in paragraph 3.3 of Section III of the Procurement Regulations for Borrowers.

2. **Procurement Documents**: A generic term used in this Guidance to cover all procurement documents, including: general procurement notices, specific procurement notices, expressions of interest, requests for expressions of interest, prequalification document, initial selection document, request for bids document, request for proposal documents, forms of contracts and any addenda.

SECTION III – SCOPE

A. **Introduction**

1. As owners of Bank-financed projects, Borrowers are responsible for ensuring that these projects achieve their development objectives. The Bank is required by its Articles of Agreement to “make arrangements to ensure that the proceeds of any loan are used only for the purposes for which the loan was granted, with due attention to considerations of economy and efficiency and without regard to political or other non-economic influences or considerations.” Pursuant to this, procurement in IPF operations supports Borrowers to achieve value for money with integrity in delivering sustainable development. The Bank supports and monitors the Borrower’s implementation of the project and procurement supervision is an integral part of the Bank’s implementation support and monitoring.

2. Under the Bank’s regular implementation support in procurement, the Bank provides procurement advice and oversight to Borrowers, using prior and/or post reviews, supervision, as well as independent procurement reviews, training, and other fiduciary mechanisms appropriate to the underlying level of risk of a specific project or portfolio.

3. The Bank may support Borrowers using a range of measures—funding, technical support, and hands-on expanded implementation support (in selected cases)—depending on the specific context of the country, sector, agency, or project. (See Section III.A of the
Procurement Policy). HEIS is a Bank’s decision on how its procurement implementation support could be provided, and pursuant to Section III.C.4 of the Procurement Directive, at the Borrower’s request, the Bank may agree to provide HEIS, at a given stage of procurement, “if the Bank determines that this support is useful to help the Borrower achieve the development objectives and outcomes of an IPF operation.” HEIS could be provided to projects subject to either Procurement Regulations for Borrowers or the Procurement Guidelines. In broad terms, HEIS may include, among other activities: (a) drafting Procurement Documents; (b) identifying strengths and weaknesses of bids/proposals; (c) observing dialogues and negotiations with bidders/consultants; and, (d) drafting procurement reports and contract award documentation.

4. HEIS allows TT to assist Borrowers to deliver effective procurement processes beyond the normal implementation support. Providing HEIS through the procurement process can enable projects to progress faster and provides a direct opportunity to transfer procurement skills as Bank and Borrower staff work more closely together. HEIS is also expected to contribute to speeding up delivery, potentially encouraging more businesses to bid, and to improve overall project quality in the lowest-capacity situations.

5. The HEIS that the Bank may provide to eligible Borrowers during the project cycle is summarized below in broad terms.

<table>
<thead>
<tr>
<th>Task</th>
<th>HEIS Available (Yes / No)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Drafting Procurement Documents</td>
<td>Yes</td>
</tr>
<tr>
<td>2. Attending pre-bid meetings as observers, including clarifying on matters of the Procurement Regulations for Borrowers</td>
<td>Yes</td>
</tr>
<tr>
<td>3. Attending bid opening as an observer, including clarifying matters of the Procurement Regulations for Borrowers</td>
<td>Yes</td>
</tr>
<tr>
<td>4. Identifying strengths and weaknesses in bids</td>
<td>Yes</td>
</tr>
<tr>
<td>5. Evaluating bids / proposals on behalf of the Borrower</td>
<td>No</td>
</tr>
<tr>
<td>6. Deciding the winning bidder</td>
<td>No</td>
</tr>
<tr>
<td>7. Advising on areas to clarify or negotiate</td>
<td>Yes</td>
</tr>
<tr>
<td>8. Attending negotiations as observers, including clarifying matters of the Procurement Regulations for Borrowers</td>
<td>Yes</td>
</tr>
<tr>
<td>9. Conducting the negotiations</td>
<td>No</td>
</tr>
<tr>
<td>10. Observing debriefings, including clarifying matters of the Procurement Regulations for Borrowers</td>
<td>Yes</td>
</tr>
<tr>
<td>11. Conducting debriefings on behalf of the Borrower</td>
<td>No</td>
</tr>
<tr>
<td>12. Supporting the Borrower in addressing procurement-related complaints</td>
<td>Yes</td>
</tr>
<tr>
<td>13. Drafting the final award letter/contract</td>
<td>Yes</td>
</tr>
<tr>
<td>14. Supporting the Borrower in defining arrangements for monitoring contract implementation</td>
<td>Yes</td>
</tr>
</tbody>
</table>

6. HEIS does not substitute for the Borrower’s decision-making authority. In every situation, the procurement decisions at key stages always remain the responsibility of the Borrower. The Bank’s provision of HEIS does not constitute decision-making on behalf of the Borrower.

7. **HEIS also does not substitute the Bank’s procurement oversight through prior review.** Contracts subject to prior review are submitted for the Bank’s review and no objection even where HEIS has been provided for those contracts.

8. HEIS may be complemented with a Probit Assureance Provider to concurrently monitor the procurement process, from bid/proposal opening through contract execution, and communicate findings to the Borrower, and the Bank and publicly as required.

9. Pursuant to Section III of the Procurement Directive, the TT (headed by the TL) is responsible for providing HEIS within the defined boundaries. The APS/PAS, as a member of the TT, provides procurement related support.

10. While this Guidance describes a typical process for procurement following open competition, under HEIS the Bank’s support could apply, as appropriate, to any type of procurement following the Procurement Regulations for Borrowers, irrespective of the selection method.

**B. Project Cycle**

**B.1 Project Preparation: Design of an effective implementation support plan**

11. Planning for implementation support begins during project preparation. In collaboration with the Borrower, the Bank designs an implementation support plan that summarizes the key areas in which the Bank and the Borrower have agreed that the Bank provides HEIS during project implementation. The plan focuses on the critical risks to achieving the project results and ways to mitigate those risks during project implementation.

12. The need for HEIS may be identified by the Borrower in the PPSD. The Bank assesses the Borrower's capability and determines the need for HEIS. The scope of HEIS is described in the memorandum proposing HEIS. See Section III of the Procurement Procedure for specific procedural instructions and ADM roles for the approval of requests of HEIS during the preparation of an IPF operation. A summary of the PPSD is included in the PAD, including the scope of HEIS to be provided to the Borrower. These arrangements may be discussed and agreed during negotiations and disclosed in the Procurement Plan.

13. HEIS is also available to existing IPF operations under implementation; for such projects, the need for HEIS may be identified through implementation support, discussed with the Borrower and documented (aide-mémoire or a written request from the Borrower as an example.) A request for HEIS for an IPF operation under implementation is processed following the procedural instructions and ADM roles set out in Section III of the Procurement Procedure.

14. As part of project preparation, the APS/PAS as part of the TT may support the Borrower in preparing the PPSD and the Procurement Plan. See paragraph E.5.b of Section III of the Procurement Directive. This support may include collecting the required information and writing the PPSD with the Borrower. In developing the PPSD, the APS/PAS works with the Borrower to promote the Borrower’s ownership and to ensure that the Borrower retains responsibility for decision-making. To facilitate this process, the APS/PAS may present different options for developing procurement strategies and explain the rationale for the preferred arrangements, based on how well they meet the project development objectives and deliver value for money. The Borrower’s decision on the preferred procurement arrangements
for the activities in the project is recorded in the PPSD and informs the Procurement Plan. Where preparation of the PPSD involves market engagement, the TT may support the Borrower in organising and managing such engagement. HEIS during preparation may also include creation of the procurement plan in STEP. Once finalized, the PPSD and the Procurement Plan are forwarded to the Bank for review, and agreement, respectively. See Section IV of the Procurement Regulations for Borrowers for more information on PPSD and Procurement Plan.

15. To facilitate the Bank’s rapid response in situations of urgent need of assistance described in paragraph 12 of Section III of the IPF Policy, a simplified PPSD may be prepared (See paragraph A.2 of Section III of the Procurement Directive). In these situations, if the client does not have the required capacity, the APS/PAS may, as part of HEIS, draft the PPSD. The APS/PAS may provide similar support in drafting the Procurement Plan.

16. In emergency situations, it may not be possible for the Borrower to prepare a PPSD and Procurement Plan for the project during project preparation, and the completion of these documents may be deferred to the project implementation phase. (See paragraph 12(a) of Section III of the IPF Policy). In these situations, the need for HEIS may be identified through the procurement capacity assessment and discussed with the Borrower.

17. When the Bank agrees to provide HEIS, it is recorded as one of the risk mitigation/capacity enhancement measures in the Procurement Risk Assessment and management system (PRAMS).

18. When a project is using HEIS, regardless of being at preparation or implementation phase, the TT will trigger the HEIS flag in the Bank’s Project Portal.

**B.2 Project Implementation**

19. As part of the Bank’s implementation support and monitoring functions during project implementation, the APS/PAS checks the Borrower’s readiness for implementation: reviewing and updating the Procurement Plan, confirming that required implementation personnel (staff and/or contracted resources) are available or have been designated and/or hired, and that the required decision-making and oversight arrangements are in place. The APS/PAS may provide training to orient the Borrower on their responsibilities for implementing the procurement arrangements for the project.

**Preparation of Procurement Documents**

20. The level of support the APS/PAS provides in preparing Procurement Documents depends on the Borrower’s procurement capacity. As part of regular implementation support, the APS/PAS may, through the TL, provide the Borrower with the Bank’s standard Procurement Documents, templates and model specifications or examples from previous projects or other repositories that may be available. The Borrower then prepares the Procurement Document and submits it for the Bank’s review.

21. As part of HEIS, the Bank may support the Borrower further in preparing Procurement Documents. This may be by drafting the Procurement Documents for the Borrower or working jointly with the Borrower to draft them. While the preferred approach to promote ownership and build capacity is joint preparation with the Borrower, in situations where the Borrower’s
capacity is insufficient for such joint preparation, the APS/PAS may draft the documents for the Borrower.

22. When documents are jointly prepared by the Bank and the Borrower, the APS/PAS explains to the Borrower the relevant aspects of the Procurement Documents and their implications and ensures that the timing and nature of decision-making on aspects of the final documents are clearly defined at the start of preparation.

23. Joint preparation of Procurement Documents does not substitute for the Bank’s fiduciary review and no objection. Therefore, once the documents are finalized, they are submitted to the Bank for its no objection. To avoid any conflict of interest, the APM arranges appropriate mitigation actions, such as having Procurement Documents reviewed by a different APS/PAS from the one supporting the Borrower in preparing the documents as part of HEIS.

**Bidding Process**

24. As part of regular implementation support, the APS/PAS supports the Borrower in putting in place arrangements for publishing procurement opportunities and for receiving bids. The TL provides templates that may be used for recording the required information. As part of HEIS, the APS/PAS may support the Borrower in administering the procurement process including but not limited to: agreeing on (i) how the Borrower issues the Procurement Documents; (ii) how fees are to be paid, received, and accounted for by the Borrower; (iii) how the Borrower is to print the Procurement Documents and, if required, provide them in electronic copy; (iv) recording who has expressed interest in receiving Procurement Documents; (v) what arrangements should be made for safe and confidential storage of bids until bid opening; (vi) what the arrangements should be made for bid opening and recording.

25. Given the risks of poor bidder participation in countries that are eligible for HEIS, the APS/PAS may support the Borrower in Early Contractor Engagement (ECE), seeking wide publication of procurement opportunities and approaching the market. This includes dissemination of procurement opportunities to embassies of the potential targeted countries, identifying potential providers or industry bodies, and carrying out appropriate market engagement to ensure a competitive response. The market engagement may include sending copies of the advertised procurement opportunities, conducting public meetings, and conducting business outreach seminars with the private sector, as appropriate to the size and nature of the opportunity and the market. If there are market concerns about Borrower capacity, the Bank’s HEIS role may be declared to assuage potential bidder concerns and motivate their participation.

**Pre-bid meeting**

26. The APS/PAS may help the Borrower prepare for the meeting by orienting the Borrower on the conduct of the meeting, including by discussing potential questions that may be raised and advice on how to respond to them. When requests for clarification have already been received from bidders, the draft responses may be prepared or discussed as part of HEIS. The TT reminds the Borrower of the role of the Bank staff as observers attending the pre-bid meeting and arranges how the Borrower can privately request advice when needed.

27. As part of HEIS, the APS/PAS may attend the pre-bid/proposal meeting as an observer, clarifying matters of the Procurement Regulations for Borrowers. Overall responsibility for
managing the pre-bid meeting rests with the Borrower, but the APS/PAS may observe the meeting to ensure that it is properly conducted.

28. Minutes of meetings are taken to promote transparency and integrity, and it is good practice to voice-record the meeting. The APS/PAS in attendance may take notes of the pre-bid meeting, which may be an input to the Borrower’s minutes of the pre-bid meeting. The APS/PAS may support the Borrower in preparing the minutes of the meeting by actually drafting the minutes for the Borrower’s approval.

**Bid opening**

29. Before the bid opening it is useful to remind the Borrower to ensure that the required officials are present at the opening and that someone has been designated to conduct the opening. Before the bid opening meeting, the APS/PAS may brief the Borrower about the bid opening process to ensure clarity. This includes discussing what should be read out at the opening, the order in which submissions are read, and what should not be read out (such as withdrawn bids).

30. As part of HEIS, the APS/PAS may attend the bid opening to support the Borrower in successfully administering the bid opening, and to ensure that it is conducted properly. Successful opening requires that the bids be opened in public, the bidders’ names and bid prices be read out, those present sign a register confirming their attendance, and a record of the opening be prepared and issued to participating bidders. During the meeting, the APS/PAS may respond to questions on the Procurement Regulations for Borrowers.

**Bid Evaluation**

31. Before the bid submission deadline, the APS/PAS confirms that the bid and proposal evaluation teams have been established and arrangements made for any Probity Assurance Provider required. Probity Assurance is required when (i) best and final offer, (ii) negotiations in international competitive procurement, or (iii) competitive dialogue are used as selection arrangements or market approaches (see paragraphs 5.41, 6.33, 6.35 and Annex XII of the Procurement Regulations for Borrowers). The APS/PAS also checks that all evaluators complete conflict of interest declarations, following the standard forms.

32. Providing a training clinic on bid/proposal evaluation is useful in preparing the Borrower for the evaluation. Such a training clinic aims to ensure that the evaluation team members are clear on (i) what their roles and responsibilities are before, during, and after bid evaluations; (ii) what the selection criteria are and how the bids/proposals are to be evaluated; and (iii) how the evaluated scores are to be combined to decide on the most advantageous bidder. It is good practice to conduct a mock evaluation of bids as it exposes the Borrower’s team to what they can expect in an actual evaluation of bids or proposals. Holding the clinic before bid opening reduces the risk of subjectivity that could arise if evaluators interpret the criteria after looking at the bids, which could bias the evaluation.

33. Once the evaluation committee is established and the evaluation commencement date is agreed, the APS/PAS as part of the TT may support the Borrower with aspects of the bid evaluation, including by reviewing the bids with the Borrower and identifying the strengths and weaknesses of the bids, taking into consideration the requirements of the Procurement Document. TL makes arrangements for the review of non-procurement aspects (i.e. technical specifications) as part of HEIS. This means identifying the relevant aspects in the bids that
respond, or fail to respond, to the requirements of the Procurement Document, identifying potential issues for negotiations or technical discussions, identifying aspects of the bid that may be overpriced, and so on. This review is done jointly with the Borrower; it can be part of the bid evaluation process and need not be done separately.

34. The Bank does not participate in scoring the bids or making decisions during bid evaluations but may give input on strengths and weaknesses to assist the evaluation committee. While not participating in decision-making, the APS/PAS may discuss the basis for the Borrower’s decision if it is not consistent with the criteria or the content of the bids. The TT ensures independence by clearly communicating to the Borrower that the Bank’s role is advisory, and that decision making is the responsibility of the evaluation team appointed by the Borrower.

35. The Bank is not a signatory to the evaluation report as an evaluator. Final decision-making rests with the Borrower and providing advice does not constitute the Bank’s making the decision.

36. In some cases, the Borrower may have separate committees, one for evaluating bids/proposals and another team or committee approving the evaluation report and awarding the contract. In such cases the Bank only advises the evaluation team and does not attend meetings of the approval committee as this may amount to participating in decision making.

Debriefing bidders and Addressing complaints

37. As part of HEIS, the APS/PAS may support the Borrower in preparing for debriefing of bidders and responding to and addressing any complaints arising from the procurement process. For a written debriefing, the APS/PAS may support the Borrower in drafting the debriefing.

Debriefing

38. If a debriefing meeting is held, the APS/PAS may support the Borrower in preparing responses to requests for debriefing ahead of the actual meeting. The APS/PAS may attend the debriefing meeting as an observer, but the Borrower remains responsible for providing the debriefing. The APS/PAS may clarify matters of the Procurement Regulations for Borrowers during the debriefing.

39. The APS/PAS supports the Borrower in ensuring that the records of debriefing are properly maintained and that a summary of the debriefing is prepared and recorded in the procurement file.

Addressing complaints

40. The APS/PAS may support the Borrower in reviewing and addressing any complaints that arise, including by ensuring that the draft response to the complaint includes all the required elements. The Borrower remains responsible for issuing all responses to the complainants.

Contract Negotiations and Technical Discussions

41. Supporting negotiations under regular implementation support includes helping the Borrower’s team prepare for negotiations and providing advice on process. Preparation may involve providing a clinic/training to the Borrower to ensure the best possible result.
42. Before the negotiations between the Borrower and the firm recommended for contract award, it is good practice for the TT, including the APS/PAS, to support the Borrower in reviewing the bid evaluation report to identify the negotiation issues, and reviewing in detail the bid from the awarded/recommended bidder. This review looks especially at the comments on the specifications, bidding document, terms of reference, and facilities to be provided to the Borrower; and in requests for proposals processes, it should also look at the relative costs in different parts of the bid/proposal. The TT then supports the Borrower in preparing a negotiation plan, clearly identifying the list of negotiation issues. This list can be provided to the bidder/consultant to facilitate their preparation for negotiations.

43. As part of HEIS, the APS/PAS may attend the negotiations as an observer, but does not participate in the negotiations, or in decision-making process. It is good practice to voice-record these negotiations in case of any future challenge.

44. When detailed discussions are required to provide advice to the Borrower, the APS/PAS may propose an adjournment of the negotiations to allow internal discussions within the Borrower team; during these discussions the APS/PAS may provide detailed advice. The APS/PAS avoids any attempts by consultants/bidders to draw the APS/PAS into the discussions, except to clarify the Procurement Procurement Regulations for Borrowers.

45. Upon completion of the negotiations, the APS/PAS may support the Borrower in drafting the minutes/record of negotiations or technical discussions. The support may also extend to working with the Borrower to draft the contract based on the outcome of the negotiations, including, (i) preparing a contract implementation plan, (ii) defining arrangements for monitoring contract implementation, and (iii) assisting the Borrower to access to independent dispute review boards and dispute review experts. However, the Borrower is responsible for providing these documents to the bidder/consultant for their agreement.

**Contract Management / Implementation**

46. During contract implementation the TT supports the Borrower in ensuring that contractual conditions are met. This includes supporting the Borrower to establish a system for recording and reporting on key performance indicators and reaching contractual milestones, for those contracts identified in the procurement plan. The Borrower remains responsible for approving or rejecting deliverables. When the Borrower requires further support on contract management, it makes a specific request to the Bank.

C. **Risk Management**

47. Providing HEIS is a significant shift in the nature of the Bank’s engagement, and could result in legal, financial, operational, and reputational risks for the Bank. However, potential risks are mitigated by adopting specific measures described below:

a. The TL ensures that that HEIS activities are properly financed.

b. The TL the scope of HEIS is clearly described in the proposal / memorandum;

c. As required in Section III of the Procurement Procedure, a proposal to provide HEIS is subject to advice from the CL and OPCS Lead Specialist to determine whether the risks involved have been adequately mitigated and other options have been considered;
d. The TL and the APS/PAS ensure clear communications with the Borrower, especially regarding the roles of the Bank and of the Borrower, particularly with respect to decision-making;

e. To ensure impartiality and independence, as well as to avoid any perception of conflict of interest on the side of the Bank staff providing HEIS, an APS/PAS providing HEIS should not carry out the Bank’s review/clearance of the Borrower’s submissions in which he/she has supported the Borrower; the review is done independently by another APS/PAS;

f. The TL ensures that HEIS activities are properly recorded, to facilitate any required auditing;

g. The APM supervises individual staff in relation to HEIS activities at the project level;

h. OPCS monitors systemic issues and trends of problems occurring in relation to HEIS activities at the institutional level;

i. The performance evaluation of staff providing HEIS includes an acknowledgement of this role and an assessment of how these activities have been performed; and

j. As part of project monitoring and reporting, the TL, with the support of the APS/PAS, reports periodically on HEIS in the project, highlighting the main challenges and difficulties, describing the client(s) requests submitted during HEIS activities, and summarizing the advice provided and its effectiveness in improving project implementation, and suggestions to improve the support. This brief summary report (normally not exceeding half a page) could be included in the project ISR.

D. Determination of Application

48. The applicability of HEIS is determined at the project level. HEIS is available “if the Bank determines that HEIS support is useful to help the Borrower achieve the development objectives and outcomes of an IPF operation. Application of HEIS to a specific project is subject to management’s approval as required in Section III of the Procurement Procedure and further explained in figure 1 below.

49. Consideration of HEIS begins with a request from the client through the PPSD that is supported by the procurement risk assessment. When finalization of the PPSD is deferred to project implementation, the need for HEIS may be identified through the procurement risk assessment and discussed with the Borrower.

50. Pursuant to Section III of the Procurement Procedure, the TL, with support from the APS/PAS, prepares a memorandum seeking the APM’s approval to incorporate a proposal for HEIS into the Decision Review or Appraisal package. For projects under implementation, the TL seeks the CD’s approval of HEIS after having obtained a clearance from the concerned APM.

Figure 1. Process for management approval of HEIS

E. Modification and Termination of HEIS

51. The Bank may unilaterally substantially modify and/or terminate HEIS at any time during the implementation of a project. Termination may arise from a request by the Borrower, or a decision by the Bank following change in project circumstances. Possible grounds for disengaging from HEIS include: (i) improved Borrower capacity for procurement rendering the Borrower capable of implementing procurement without HEIS, (ii) increased risk to the Bank in providing HEIS e.g. as a result of risks of fraud and corruption or changes in security which impede the provision of HEIS, or (iii) a request from the Borrower for the Bank to stop HEIS.

52. The TL obtains management’s approval to modify/disengage from HEIS. Pursuant to Section III of the Procurement Procedure, the TL, with support from the APS/PAS, prepares a memorandum seeking the CD’s approval to modify/terminate HEIS as explained in figure 2 below. The memorandum justifies the proposal, describing specific grounds for modifying/disengaging from HEIS, including proposed risk mitigation measures and controls.
53. Upon APM clearance, CD decides, and the Bank formally notifies the Borrower of the modification/termination of HEIS and requests the Borrower to take the appropriate actions.

**Figure 2. Process for Termination of HEIS**

Borrower requests modification/termination of HEIS or the need for modification/termination is identified by the Bank

TL recommends (prepares memo requesting) CD’s decision to modify/terminate HEIS

APM clears the proposal for modification/termination

CD decides on the HEIS modification/termination

The Bank formally notifies the Borrower of the modification/termination of HEIS

**F. Roles of Different Parties in HEIS**

54. Pursuant to the Procurement Directive and the Procurement Procedure, the roles and responsibilities of different parties in HEIS are explained below:

<table>
<thead>
<tr>
<th>Party</th>
<th>Roles</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPCS Lead Specialist</td>
<td></td>
</tr>
<tr>
<td>CL</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Party</th>
<th>Roles</th>
</tr>
</thead>
</table>
| **TL**                       | a. Recommending HEIS and processing the necessary approvals.  
  b. Maintaining appropriate records when HEIS is provided.  
  c. Ensuring that HEIS is provided within the defined boundaries.  
  d. Through ISRs or other means, reporting on the application of HEIS in the project.                                                                 |
| **TT**                       | Supporting the TL by providing any necessary expertise on technical aspects of a procurement.                                                                                                          |
| **APS/PAS**                  | a. Supporting the TL in preparing a memorandum requesting approval to incorporate a proposal for HEIS in the Decision Review/Appraisal package (project preparation) and management approval i.e. APM and CD (projects under implementation).  
  b. Supporting the TL providing HEIS within the boundaries defined.  
  c. Supporting the TL in maintaining appropriate records when HEIS is provided.  
  d. Supporting the TL in reporting annually on the application of HEIS in the project, including updating PRAMS at least annually to reflect the experience with and impact of providing HEIS. |
| **APM**                      | a. Ensuring that adequate resources are available to support provision of HEIS.  
  b. Deciding on incorporating requests for HEIS into the Decision Review/Appraisal package (for projects under preparation), clearing HEIS recommendations (for projects under implementation).  
  c. Ensuring that the same APS/PAS assigned to provide HEIS support does not issue procurement clearance related to those activities where he/she has been involved in providing HEIS.  
  d. Monitoring the provision of HEIS and ensuring that the necessary safeguards and risk mitigation measures are implemented as planned. |
| **OPCS Lead Procurement Specialist** | a. Advising APMs on requests for HEIS.  
  b. Monitoring the provision of HEIS and reporting to the Board on the opportunities and risks associated with the Bank’s provision of HEIS. |
| **CL**                       | Advising the APM on requests for HEIS.                                                                                                                                                               |
| **CD**                       | Deciding the inclusion of a proposal for HEIS in the project design for projects under preparation; or the inclusion of HEIS in projects under implementation.                                            |
Section IV – Other Provisions
N/A

Section V – Temporary Provisions
N/A

Section VI – Effective Date
This Guidance is effective as of the date on its cover page.

Section VII – Issuer
The issuer of this Guidance is CPO, OPCS.

Section VIII – Sponsor
The sponsor of this Guidance is the Lead Specialist, OPCS.

Section IX – Related Documents
Bank Directive, “Procurement in IPF and Other Procurement Operational Matters”
Bank Procedure, “Preparation of Investment Project Financing”
Bank Procedure, “Investment Project Financing Implementation Support to Project Completion.”
Bank Procedure, “Preparation of Investment Project Financing- Situations of Urgent Need of Assistance or Capacity Constraints”
Bank Policy, “Investment Project Financing”
Bank Policy, “Procurement in IPF and Other Procurement Operational Matters”
Bank Procedure, “Procurement in IPF and Other Operational Procurement Matters”
“World Bank Procurement Regulations for IPF Borrowers”

Section X- Revision History

March 2019: Changes to reflect (i) a revision of paragraph 4 of Section III.C of the Procurement Directive that enables the Bank to provide HEIS in IPF projects -beyond those situations

described in paragraph 12 of Section III of the IPF Policy-, if the Bank determines that this support is useful to help the Borrower achieve the development objectives and outcomes of an IPF operation, and (ii) other editorials.

**ANNEX**

Templates/memorandums to process request for HEIS approvals are available in OPCS-Procurement website.

Questions about this Guidance should be addressed to the CPO, OPCS.