



**Model**

**Request For Proposal (RFP)**

**SELECTION**

**OF**

**TRANSMISSION CONSULTANTS**

**Planning Commission**  
**Government of India**  
**New Delhi**

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## Preface

Over the years, investment in the power sector has been funded mainly from budgetary allocations, internal accruals of public sector undertakings and external borrowings. The Central and State governments account for 33.1 per cent and 51.5 per cent of the generation capacity respectively with only 15.4 per cent contributed by the private sector. Transmission functions are performed almost entirely by public sector utilities and distribution remains in the control of State-owned monopolies, except in Orissa, Delhi, Mumbai, Ahmedabad, and Surat where private monopolies operate. The demand for electricity has grown steadily but capacity addition has fallen short. As a result, the deficit has increased and the peak shortage reached an all-time high of 16.6 per cent in 2007-08.

The Eleventh Plan envisages a steep rise in public and private investment across all infrastructure sectors. This includes addition of about 80,000 MW of power generation capacity. The total investment in the power sector is projected at about Rs. 8 lakh crore, including the investment required for building transmission networks to evacuate the additional power. The investment gap is largely in the State sector, which includes intra-State transmission systems.

Pursuant to a decision of the Empowered Sub-committee of the Committee on Infrastructure(ESCOI), chaired by the Deputy Chairman, Planning Commission, an Inter-Ministerial Task Force was constituted in February 2008 under the chairmanship of Member (Power), Planning Commission, to examine the policy and regulatory framework for private participation in transmission, and to make recommendations for enabling and accelerating private investment in the transmission segment. The Task Force held consultations with various State Governments, stakeholders and experts and noted that the absence of a model framework was a major bottleneck in attracting private investment in

transmission systems. Recognising that the process of structuring Public Private Partnerships (PPPs) is complex, it concluded that the involvement of experienced consultants was necessary for formulating project proposals and bid documents for award of PPP projects in an efficient, transparent and fair manner.

The Task Force noted that based on extensive consultations with relevant ministries, stakeholders and experts, a ready-to-use Model Request for Proposal (RFP) for selection of technical consultants had been evolved by an Inter-Ministerial Group under the chairmanship of Secretary, Expenditure. The document had internalised international best practices as well as the extant rules on this subject. This Model RFP document was commended by ESCOI and notified by the Department of Expenditure with approval of the Finance Minister for adoption by all ministries and autonomous bodies of the Central Government. The Task Force felt that a similar Model RFP would be relevant and useful for selection and appointment of technical consultants for preparing Feasibility Reports of transmission projects.

Drawing upon the aforesaid model document, the Task Force recommended a Model RFP for selection of Technical Consultants for Transmission Systems which is contained in this volume. It affords adequate flexibility for introducing project-specific modifications, as may be necessary for meeting the requirements in each case. The ESCOI and the Finance Ministry have since approved this Model RFP and it is hoped that adoption of this document would enhance the possibilities of a fair, transparent and competitive selection of technical consultants for delivery of successful PPP projects in transmission systems.



(Gajendra Haldea)  
Adviser to Deputy Chairman  
Planning Commission

July 27, 2009

# Overview of the framework

## Need for a standardised framework

With a view to enabling a smooth transition from public sector projects to Public Private Partnerships (PPPs) and for adoption of best practices, Government of India has recognized the critical role of standardising documents and processes to be adopted for structuring and award of PPP concessions. Standardised documents enable project authorities to save on the time and costs involved in structuring complex PPP projects. In addition, they afford protection to individual entities and officials against making errors and answering for them. Such standard documents typically lay down the norms, principles and parameters to be followed for PPP projects and enable project authorities to adopt them with considerable ease for meeting the specific requirements of individual projects.

**Standardised documents save on time and costs; avoid costly mistakes**

## Need for Consultants

The process of structuring PPPs is complex and the requisite expertise does not normally exist within the government. Nor do the Project Authorities have the time and staff resources that go into fine tuning the documentation for PPPs. Employing experienced consultants enables the project authorities to enhance the possibilities of a successful project, helps in avoiding costly mistakes, promotes capacity building within the government sector and builds investor confidence in the entire process.

**Consultants required for structuring a successful PPP project**

## Need for a Feasibility Report

The nature, extent and scope of each project needs to be determined through a feasibility study that is necessary for structuring a bankable project. A good Feasibility Report not only helps the project authority in structuring the project, it also enables investors and lenders to make decisions that would promote a

**Feasibility Report is necessary for defining a bankable project**

competitive and efficient environment. This volume responds to the need for evolving a standard Request for Proposal (RFP) document for the selection of technical consultants for developing the electricity transmission projects in a fair and transparent manner. It is in conformity with the extant policies and guidelines laid down by Government of India in this regard and may be used by the State Governments for their respective intra-state transmission projects.

### **Separate technical, financial and legal consultants**

#### **Separate technical, financial and legal consultants**

The State governments, State Transmission Utilities or distribution companies owning such projects (the “**Project Authorities**”) would normally need expert technical, financial and legal advice for formulating project documents necessary for award and implementation of PPP projects in an efficient, transparent and fair manner. Project Authorities sometimes seek the comfort of a single consultancy firm to handle all aspects of project preparation and award. While it may appear to be a convenient approach especially for Project Authorities lacking in experience, this can lead to sub-optimal outcomes and large contingent liabilities or claims arising out of the project documents and contract. It is an international best practice to engage technical, financial and legal consultants separately as the firms rendering such services are independent of each other and must also provide their advice independently. Where necessary, the Project Authorities may also entrust the financial adviser with the role of transaction adviser for coordinating the bid process.

To begin the process of project structuring, it would be essential to engage technical consultants for preparing a feasibility report. In case of complex projects, a pre-feasibility report can also be considered. Besides establishing the physical and technical feasibility of a project, the feasibility report should also include a broad assessment of the financial viability of the project. When the feasibility of a project is established, it would be necessary to engage financial consultants for developing a financial model

for the project and for assisting the project authorities in conducting the bid process. It would also be necessary to engage legal consultants for adapting the model documents for individual projects. Such model documents include the Request for Qualification (RFQ), Request for Proposal (RFP) and the Model Transmission Service Agreement (MTSA). In case the MTSA is not used by the Project Authority, it would be necessary to engage qualified and reputed law firms who have experience in drafting such transmission service agreements and can draw upon the provisions of the MTSA to the extent it can be applied.

### **Role of technical consultants**

Technical consultants are normally required for preparing Feasibility Reports, setting performance targets and determining investment needs. They are expected to be well conversant with the physical aspects of the power sector. They can provide a range of skills and services including general design, costing and quantity surveying, planning, technical feasibility studies and reviews, lifecycle costing and analysis, and project monitoring and management. In short, they are instrumental in defining the project.

### **Fair and transparent selection process**

The appointment of consultants should not be treated in the same manner as procurement of goods and other services where the bid is awarded to the lowest financial bidder based on pre-determined specifications. This is so because what sets consultancy services apart from other procurements is the advisory and intellectual nature of services which are not amenable to precise quantification.

**Procurement of consultants different from procurement of goods and services**

### **Importance of Terms of Reference**

The Terms of Reference (ToR) of the consultants provide a brief description of the services the consultants are required to perform. They should include background information, a statement

of objectives, a precise scope of work, the nature and number of key personnel to be deployed, schedule for completion of task, the indicative work plan, level of effort, the inputs to be provided by the Project Authority and the deliverables/ outputs that will be required from the consultants.

**TOR should be clear and precise**

The TOR should be detailed and clearly defined since the performance of the consultants would necessarily have to be measured in terms of the agreed ToR. Clarity in ToR is essential to ensure that the consultants have a clear understanding of the aims and objectives of the Project Authority and the relevance of their consultancy.

**Deliverables**

It is important to define in the RFP the deliverables expected by the Project Authority at various stages of the consultancy assignment. The deliverables in the form of reports should be formulated after suitable consultations with the Project Authority. The time frame for the deliverables should be clearly defined and must be adequate for the consultants to prepare an output that is desired by the Project Authority. Normally it is advisable to appoint a nodal/officer to interact with the consultants and to ensure that the period of consultancy is utilised to the optimum.

**Key Dates**

The Key Dates in the RFP indicate the time schedule that the Project Authority desires the consultants to follow in accordance with the requirement of awarding the project. Normally, for the preparation of feasibility report and architectural design a time period of 14-18 weeks is optimum. The payment to the consultants is linked to the deliverables and the payment schedule is stated upfront in the RFP.

### **Importance of the Agreement**

The draft contract agreement covers the terms and conditions of employment of the winning bidder. A standard contract should be used for this purpose. Key elements that the contract ought to include, *inter alia*, are the term or duration of the contract; description of the scope of work; provision for modifications to the scope of work; responsibility for contract administration and project management (both substantive review/management and handling of invoices) on the government side; responsibility for project management on the consultant's side; definition of specific tasks and responsibilities; elimination of conflict of interest; change of personnel and use of sub-consultants; ownership of property used by the consultants during the course of the project; insurance requirements with specified level of coverage; dispute resolution, including the use of specified rules for arbitration; treatment of Force Majeure; conditions for termination; contract price; and payment schedule.

**A binding agreement is necessary**

### **Eligible applicant firms and projects**

Consultants should normally be selected on the basis of the track record and relevant experience of the applicant firm as well as its key personnel offered for the Consultancy. The RFP should clearly indicate the value and nature of past assignments that would be considered eligible for the purpose of evaluating the applicants. Besides minimum eligibility criteria, the RFP should specify the manner in which past experience would be evaluated.

**Evaluation should rely on track record**

### **Key Personnel**

The quality of the Feasibility Report would largely depend on the experience and expertise of the key personnel engaged for the assignment. The Project Authority must, therefore, determine the nature and discipline of the advice required and identify a limited number of key personnel, including the team leader, who would play a critical role in the consulting assignment. These key

**Key personnel to be clearly specified in the bid documents**

personnel should be clearly specified in the bid documents and their minimum qualifications and experience should also be indicated. Each such key personnel should be evaluated individually and marks assigned. About 30 per cent of the marks for each key personnel may be awarded for the number of relevant eligible assignments the respective key personnel has worked on and the remaining 70 per cent may be awarded for the comparative size and quality of such assignments and relevant experience.

**Evaluation of Key personnel must be undertaken with care and diligence**

The minimum time required from each key personnel must also be clearly spelt out in the bid documents so that their services are made available as specified in the bid documents. This would check the tendency of including senior experts in the bid documents but deploying junior experts when work begins. It is necessary to ensure that the key personnel who have been offered are actually deployed for project work or else the entire assignment would be vitiated. The RFP document, should, therefore, specify the days and hours that each key personnel must spend on the project and this stipulation should be amenable to close monitoring.

**Two-envelope system**

**Weightage to higher technical competence**

Consultancy services are normally procured through a 'two-envelope' system comprising a technical bid and a financial bid. This method of selection places due emphasis on the quality of consultants by assigning weightage to higher technical experience and expertise. The technical and financial bids are submitted in two separate sealed covers duly superscribed and kept inside a bigger cover which should also be duly sealed and superscribed. The technical bid comprises the information relating to the experience and qualification of the consultants whereas the financial bid comprises the financial offer made by the consultants for performing the services as per the Terms of Reference.

The technical bid is to be opened first. A technical evaluation should be carried out by an evaluation committee constituted by the Project Authority and a list of bidders qualifying the technical criteria should be prepared at this stage, based on

pre-determined criteria. The bidders should be ranked according to their respective technical scores. Only the bidders scoring the minimum prescribed marks should be pre-qualified and not more than five bidders should normally be short-listed.

In the second stage, a financial evaluation is to be carried out. The financial bids of only the short listed bidders should be opened for the purpose of further evaluation. Proposals should be finally ranked based on their combined technical and financial scores.

### **Technical Evaluation**

The technical proposal should be evaluated mainly for the experience of the applicant firm as well as the experience and qualifications of the key personnel offered for the project. The indicative weightages that may be used for evaluation are 25 per cent of the total marks for experience of the firm and 5 per cent for the proposed methodology and work plan. Since the quality of the consulting assignment would largely depend on the qualifications and relevant experience of key personnel proposed to be deployed on the project, 70 per cent of the maximum marks for technical evaluation should be assigned to the key personnel. Evaluation of key personnel is the most important component of evaluation and must, therefore, be undertaken with care and diligence.

**Key personnel play a dominant role**

Only those applicants, whose technical proposals score the minimum prescribed marks, say 70 points or more out of 100 should be ranked as per score achieved by them, from highest to the lowest technical score. Each key personnel must also score the minimum prescribed marks.

### **Short-listing of Applicants**

Not more than 5 applicants should normally be prequalified and shortlisted for financial evaluation in the second stage. The purpose of restricting the number to five is to ensure that only

**Proposals of high technical standards to be considered**

proposals of high technical standards are considered. This would also provide applicants an incentive to prepare sound proposals. The advantages of getting competent professionals are obvious from the perspective of the Project Authorities.

If the number of pre-qualified bidders is less than two, the Authority may in its sole discretion, pre-qualify the Applicant(s) whose technical score is less than 70 per cent, the minimum prescribed, so that at least two applicants compete for the assignment.

### **Financial Evaluation**

In the second stage the financial evaluation should be carried out by assigning a financial score to each financial proposal. The total cost indicated in the financial proposal should be considered for the purpose of financial evaluation. The lowest financial proposal should be given a financial score of 100 points. The financial scores of other proposals should be determined proportionately.

### **Combined Scores**

Proposals should finally be ranked according to their combined technical and financial scores, based on the respective weightage assigned to them. For the purpose of arriving at combined scores, appropriate weightages should be determined for the technical and financial bids. The ratio of weightages for technical and financial bids should be established well in advance and incorporated in the RFP document. The respective weightages should normally be 70 per cent for the technical bid and 30 per cent for the financial bid, but in case of complex projects where the experience and expertise of the consultants would play a critical role, the weightage for technical score could be increased to 80 per cent with the financial bid having a reduced weightage of 20 per cent.

Generally the successful applicant shall be the applicant

whose proposal secure the highest combined score. However, in the event the proposals of two or more applicants have the same scores in the final ranking, the proposal with the higher technical score should be ranked first.

### **Conclusion**

A Model RFP document for appointment of technical consultants for transmission systems in the power sector has been developed based on the principles outlined above. It is generic in nature and aims at lending transparency and efficiency to the selection process. It also provides the requisite project-specific flexibility by placing several provisions within square brackets, thus enabling the Project Authority to make necessary substitutions. Some flexibility has also been afforded by the respective footnotes. To the extent possible, the concerned State Governments should standardise the provisions contained in square brackets so that case by case modifications are minimised.

The Model RFP document for appointment of technical consultants for transmission systems in the power sector addresses the critical requirements that should be satisfied for conducting a fair and transparent bidding process. The project authorities intending to procure the services of technical consultants for PPP projects should observe these guidelines and adopt the Model RFP document for selection of technical consultants for development of transmission systems in the power sector.

**Model RFP document  
should be followed**

## **GUIDELINES OF THE PLANNING COMMISSION**

*No. N-14026/3/2008-Infra*

*Planning Commission*

*Yojana Bhawan, New Delhi*

*Dated, 24 July 2009*

### **OFFICE MEMORANDUM**

***Subject: Model Request for Proposal (RFP) for Appointment of Technical Consultants for Transmission Systems in the Power Sector***

- 1.0. *The undersigned is directed to state that for selection of technical consultants for Public Private Partnership (PPP) projects in the development of transmission systems in the power sector, the Model RFP contained herein may be followed henceforth by the respective Project Authorities.*

#### **BACKGROUND**

- 2.0. *The Eleventh Five Year Plan envisages a steep rise in public and private investment across all infrastructure sectors. A total investment requirement of over Rs. 8 lakh crore has been projected for the power sector, corresponding to addition of generation capacity of about 80,000 MW. This includes a projected investment of about Rs. 1.75 lakh crore for building transmission networks, which include intra-State transmission systems. Paucity of resources at the State level poses special challenges for financing the State level networks.*
- 3.0. *Pursuant to the decision of the Empowered Sub-Committee of the Committee on Infrastructure (ESCOI), an Inter-Ministerial Task Force was constituted in February 2008 under the chairmanship of Member (Power), Planning Commission, with representation from the Ministry of Power, Department of Economic Affairs, Department of Expenditure, Planning Commission, Central Electricity Authority and Powergrid Corporation of India Ltd, for examining the policies and regulatory practices relating to private investment in transmission systems and for making recommendations to enable private investment in transmission of electricity. The Task Force held consultations with various State governments, stakeholders and experts and noted that the absence of a model framework for private investment, especially at the level of States, was a major bottleneck to attracting private investment in transmission systems*
- 4.0. *After extensive deliberations, the Task Force recommended an RFP document for selection of Technical Consultants for Transmission Systems. It also recommended that the RFQ and RFP documents issued by the Finance Ministry for selection of*

*concessionaires may be followed for PPP transmission projects also. These recommendations were approved by ESCOI and the said documents were commended for use by the respective Project Authorities seeking private investment in transmission. This Model RFP draws upon the Model RFP for Appointment of Technical Consultants which was issued by the Ministry of Finance following the recommendations made by an Inter-Ministerial Group (IMG) under the chairmanship of Secretary Expenditure. It affords adequate flexibility for introducing project-specific modifications, as may be necessary for meeting the requirements in each case.*

### **EXISTING GUIDELINES ON PROCUREMENT OF CONSULTANTS**

- 5.0. *The General Financial Rules, 2005 (GFR) lay down the general principles to be adopted for procurement of goods and services. In particular, Chapter 6 of GFR deals with 'Procurement of Goods and Services'.*
- 6.0. *In order to provide detailed generic guidelines, the Department of Expenditure had issued a Manual of Policies and Procedure for employment of consultants in August 2006. This Manual is intended to serve as a practical guide to Ministries and Departments for engaging the services of consultants for various projects. These guidelines suggest many alternate methodologies for procurement of consultants, which include: (i) Quality-cum-Cost Based Selection system (QCBS), (ii) Combined Quality-cum-Cost Based Selection system (CQCBS), (iii) Quality Based Selection system (QBS), and (iv) Cost Based Selection system (CBS). The methodology to be adopted for selection of consultants depends on the nature and complexity of the projects for which consultants are proposed to be engaged, especially with respect to an appropriate balance between the quality and cost of engaging a consultant.*

### **NEED FOR AN RFP DOCUMENT**

- 7.0. *The above mentioned Rules and Manual apply to all types of projects, whether PPP projects or EPC contracts. However, since PPP projects are inherently different from the usual projects implemented by Government Departments/ Ministries, a need had arisen for a specific RFP document for selection and appointment of technical consultants for PPP projects.*
- 8.0. *For this purpose, an IMG under Special Secretary (Expenditure) with representation from Planning Commission, Department of Economic Affairs and other related Ministries was constituted by the ESCOI to evolve a Model RFP document for appointment of Technical Consultants based on the above mentioned Rules and Manual. The RFP document evolved by this IMG was placed before the ESCOI in its meeting held on 13.4.2009 when it was commended for approval of the Government. This RFP document was subsequently approved by the Finance Minister and issued by the Department of Expenditure vide O.M. No. 24(23) PF-II dated May 21, 2009.*

## **KEY PRINCIPLES GOVERNING THE RFP**

9.0. *The key principles governing the RFP are stated below.*

### **Separate technical, financial and legal consultants**

10.0. *The Project Authorities would normally need expert financial, legal and technical advice for formulating project documents necessary for award and implementation of PPP projects in an efficient, transparent and fair manner. It is advisable to engage technical, legal and financial consultants separately as the firms rendering such services are independent of each other and must also provide their advice independently. However, a single consultant firm may be engaged for handling all aspects of project preparation and award in exceptional circumstances and for low value projects only.*

### **Role of technical consultants**

11.0. *Technical consultants are normally required for preparing Feasibility Reports, setting performance targets and determining investment needs. They are expected to be well conversant with the physical aspects of the transmission systems under consideration. They can provide a range of skills and services including general design, costing and quantity surveying, planning, technical feasibility studies and reviews, lifecycle costing and analysis, and project monitoring and management. In short, they are instrumental in defining the project.*

### **Fair and transparent selection process**

12.0. *The appointment of a consultant should not be treated in the same manner as procurement of goods and other services where the bid is awarded to the lowest financial bidder based on pre-determined specifications. This is so because what sets consultancy services apart from other procurements is the advisory and intellectual nature of services which are not amenable to precise quantification.*

### **Importance of Terms of Reference**

13.0. *The Terms of Reference (TOR) of the consultant provide a brief description of the services the consultant is required to perform. They should include background information, a statement of objectives, a precise scope of work, the nature and number of key personnel to be deployed, schedule for completion of task, the indicative work plan, level of effort, the inputs to be provided by the Project Authority and the deliverables/ outputs that will be required from a consultant.*

14.0. *Clarity in TOR is essential for ensuring that the consultant has a good understanding of the aims and objectives of the Project Authority and the relevance of its consultancy. The TOR relating to transmission systems sets out comprehensively a description of the services required to be performed, while enabling modifications as may be necessary for meeting the requirements in each case, including in respect of environmental and social impact assessment studies.*

**Deliverables**

15.0. *It is important to define in the RFP the deliverables expected by the Project Authority at various stages of the consultancy assignment. The deliverables in the form of reports should be formulated after suitable consultations with the Project Authority. The time frame for the deliverables should be clearly defined and must be adequate for the consultant to prepare an output that is desired by the Project Authority. Normally it is advisable to appoint a nodal/officer to interact with the consultant and to ensure that the period of consultancy is utilised to the optimum.*

**Key Dates**

16.0. *The Key Dates in the RFP indicate the time schedule that the Project Authority desires the consultant to follow in accordance with the requirement of awarding the project. Normally, for the preparation of feasibility report a time period of 18-20 weeks is optimum. The payment to the consultant is linked to the deliverables and the payment schedule should be stated upfront in the RFP.*

**Importance of the Agreement**

17.0. *The draft contract agreement covers the terms and conditions of employment of the winning bidder. A standard contract should be used for this purpose. Key elements that the contract ought to include, inter alia, are the term or duration of the contract; description of the scope of work; provision for modifications to the scope of work; responsibility for contract administration and project management (both substantive review/ management and handling of invoices) on the government side; responsibility for project management on the consultant's side; definition of specific tasks and responsibilities; elimination of conflict of interest; change of personnel and use of sub-consultants; ownership of property used by the consultant during the course of the project; insurance requirements with specified level of coverage; dispute resolution, including the use of specified rules for arbitration; treatment of Force Majeure; conditions for termination; contract price; and payment schedule.*

**Eligible Projects**

18.0. *Consultants should normally be selected on the basis of their track record and relevant experience. The RFP should clearly indicate the value and nature of past assignments that would be considered eligible for the purpose of evaluating the applicants. Besides a minimum eligibility criteria, the RFP should specify the manner in which past experience would be evaluated.*

**Key Personnel**

19.0. *The quality of the Feasibility Report would largely depend on the experience and expertise of the key personnel engaged for the assignment. The Project Authority must, therefore, determine the nature and discipline of the advice required and identify a limited number of key personnel, including the team leader, who would play a critical role in the consulting assignment. These key personnel should be*

*clearly specified in the RFP and their minimum qualifications and experience should also be indicated. Each such key personnel should be evaluated individually and marks assigned.*

### ***Two-envelope system***

- 20.0. *Consultancy services are normally procured through a 'two-envelope' system comprising a technical bid and a financial bid. This method of selection places due emphasis on the quality of consultants by assigning weightage to higher technical experience and expertise. The technical and financial bids are submitted in two separate sealed covers duly superscribed and kept inside a bigger cover which should also be duly sealed and superscribed. The technical bid comprises the information relating to the experience and qualification of the consultant whereas the financial bid comprises the financial offer made by the consultant for performing the services as per the Terms of Reference.*
- 21.0. *The technical bid is to be opened first. A technical evaluation should be carried out by an evaluation committee constituted by the Project Authority and a list of bidders qualifying the technical criteria should be prepared at this stage, based on pre-determined criteria. The bidders should be ranked according to their respective technical scores. Only the bidders scoring the minimum prescribed marks should be pre-qualified and not more than five bidders should normally be short-listed.*
- 22.0. *In the second stage, a financial evaluation is to be carried out. The financial bids of only the short listed bidders should be opened for the purpose of further evaluation. Proposals should be finally ranked based on their combined technical and financial scores.*

### ***Technical evaluation***

- 23.0. *The technical proposal should be evaluated mainly for the experience of the applicant firm as well as the experience and qualifications of the key personnel offered for the project. Evaluation of key personnel is the most important component of evaluation and must, therefore, be undertaken with care and diligence.*

### ***Short-listing of Applicants***

- 24.0. *Not more than five applicants should normally be prequalified and shortlisted for financial evaluation in the second stage. The purpose of restricting the number to five is to ensure that only proposals of high technical standards are considered. This would also provide applicants an incentive to prepare sound proposals.*
- 25.0. *If the number of pre-qualified bidders is less than two, the Authority may in its sole discretion, pre-qualify the Applicant(s) whose technical score is less than 70 per cent, the minimum prescribed, so that at least two applicants compete for the assignment.*

### ***Financial Evaluation***

- 26.0. *In the second stage the financial evaluation should be carried out by assigning a*

*financial score to each financial proposal. The total cost indicated in the financial proposal should be considered for the purpose of financial evaluation.*

### **Combined Scores**

27.0. *Proposals should finally be ranked according to their combined technical and financial scores, based on the respective weightage assigned to them. For the purpose of arriving at combined scores, appropriate weightages should be determined for the technical and financial bids. The ratio of weightages for technical and financial bids should be established well in advance and incorporated in the RFP document. Generally the successful applicant shall be the applicant whose proposal secures the highest combined score. However, in the event the proposals of two or more applicants have the same scores in the final ranking, the proposal with the highest technical score should be ranked first.*

### **Project-specific flexibility**

28.0. *The Model RFP document provides the requisite sector-specific and project-specific flexibility by placing several provisions within square brackets, thus enabling the project authorities to make necessary substitutions. Some flexibility has also been afforded by the respective footnotes.*

### **CONCLUSION**

29.0. *The Model RFP document for appointment of technical consultants for transmission systems in the power sector annexed with this OM has been developed based on the principles outlined above. It is generic in nature and aims at lending transparency and efficiency to the selection process. It also provides the requisite project-specific flexibility by placing several provisions within square brackets, thus enabling the Project Authority to make necessary substitutions. Some flexibility has also been afforded by the respective footnotes. To the extent possible, the concerned State Governments should standardise the provisions contained in square brackets so that case by case modifications are minimised.*

30.0. *The Model RFP document for appointment of technical consultants for transmission systems in the power sector addresses the critical requirements that should be satisfied for conducting a fair and transparent bidding process. The project authorities intending to procure the services of technical consultants for Transmission projects should observe these guidelines and adopt the Model RFP document for selection of technical consultants.*

31.0. *This RFP for Appointment of Technical Consultants for Transmission Systems in Power Sector was considered and approved by the Empowered Sub-Committee of the Committee on Infrastructure (ESCOI) in its meeting held on April 13, 2009 under the chairmanship of Deputy Chairman, Planning Commission. It was subsequently approved by the Finance Minister vide I.D. No. 15(4)/PF-11/2009 dated 23 July, 2009.*

32.0. *These Guidelines shall come into force with immediate effect and will apply to all cases where bids are invited for selection of transmission consultants after August 1, 2009.*



(Ravi Mital)

Adviser (Infrastructure)

Tel: 23096655

1. *Secretary, Ministry of Power, Shram Shakti Bhawan, Rafi Marg, New Delhi.*
2. *Secretary, Ministry of New and Renewable Energy, CGO Complex, New Delhi.*
3. *Secretary, Department of Economic Affairs, North Block, New Delhi.*
4. *Secretary, Department of Expenditure, North Block, New Delhi.*
5. *Secretary, Department of Legal Affairs, Ministry of Law and Justice, Shastri Bhawan, New Delhi.*
6. *Secretary, Department of Telecommunication, Sanchar Bhawan, New Delhi.*
7. *Chairman and Ex-Officio Secretary, Central Electricity Authority, Sewa Bhawan, R.K. Puram, New Delhi - 110 066.*
8. *Chairman, Central Electricity Regulatory Commission*
9. *Chief Secretary/Administrator, State Governments/UTs*
10. *Principal Secretary, Department of Finance, State Governments/UTs*
11. *Principal Secretary, Department of Power, State Governments/UTs*
12. *Principal Secretary, Planning, State Governments/UTs*
13. *PPP Nodal Officer, State Governments/UTs*
14. *Chairman, State ERC, State Governments/UTs*

**Copy to: PS to Secretary, Planning Commission/ PS to Adviser to Deputy Chairman.**

**Model**  
**Request For Proposal (RFP)**



## Disclaimer

The information contained in this Request for Proposal document (“**RFP**”) or subsequently provided to Applicants, whether verbally or in documentary or any other form by or on behalf of the Authority or any of its employees or advisers, is provided to Applicants on the terms and conditions set out in this RFP and such other terms and conditions subject to which such information is provided.

This RFP is not an agreement and is neither an offer nor invitation by the Authority to the prospective Applicants or any other person. The purpose of this RFP is to provide interested parties with information that may be useful to them in the formulation of their Proposals pursuant to this RFP. This RFP includes statements, which reflect various assumptions and assessments arrived at by the Authority in relation to the Consultancy. Such assumptions, assessments and statements do not purport to contain all the information that each Applicant may require. This RFP may not be appropriate for all persons, and it is not possible for the Authority, its employees or advisers to consider the objectives, technical expertise and particular needs of each party who reads or uses this RFP. The assumptions, assessments, statements and information contained in this RFP, may not be complete, accurate, adequate or correct. Each Applicant should, therefore, conduct its own investigations and analysis and should check the accuracy, adequacy, correctness, reliability and completeness of the assumptions, assessments and information contained in this RFP and obtain independent advice from appropriate sources.

Information provided in this RFP to the Applicants is on a wide range of matters, some of which depends upon interpretation of law. The information given is not an exhaustive account of statutory requirements and should not be regarded as a complete or authoritative statement of law. The Authority accepts no responsibility for the accuracy or otherwise for any interpretation or opinion on the law expressed herein.

The Authority, its employees and advisers make no representation or warranty and shall have no liability to any person including any Applicant under any law, statute, rules or regulations or tort, principles of restitution or unjust enrichment or otherwise for any loss, damages, cost or expense which may arise from or be incurred or suffered on account of anything contained in this RFP or otherwise, including the accuracy, adequacy, correctness, reliability or completeness of the RFP and any assessment, assumption, statement or information contained therein or deemed to form part of this RFP or arising in any way in this Selection Process.

The Authority also accepts no liability of any nature whether resulting from negligence or otherwise however caused arising from reliance of any Applicant upon the statements contained in this RFP.

The Authority may in its absolute discretion, but without being under any obligation to do so, update, amend or supplement the information, assessment or assumption contained in this RFP.

The issue of this RFP does not imply that the Authority is bound to select an Applicant or to appoint the Selected Applicant, as the case may be, for the Consultancy and the Authority reserves the right to reject all or any of the Proposals without assigning any reasons whatsoever.

The Applicant shall bear all its costs associated with or relating to the preparation and submission of its Proposal including but not limited to preparation, copying, postage, delivery fees, expenses associated with any demonstrations or presentations which may be required by the Authority or any other costs incurred in connection with or relating to its Proposal. All such costs and expenses will remain with the Applicant and the Authority shall not be liable in any manner whatsoever for the same or for any other costs or other expenses incurred by an Applicant in preparation or submission of the Proposal, regardless of the conduct or outcome of the Selection Process.

## Glossary

<b>Additional Costs</b>	As in Item H of Form-2 of Appendix-II
<b>Agreement</b>	As defined in Schedule-2
<b>Agreement Value</b>	As defined in Clause 6.1.2 of Schedule-2
<b>Applicable Laws</b>	As defined in Schedule-2
<b>Applicant</b>	As defined in Clause 2.1.1
<b>Associate</b>	As defined in Clause 2.3.3
<b>Authorised Representative</b>	As defined in Clause 2.13.3
<b>Authority</b>	As defined in Clause 1.1.1
<b>Bid Security</b>	As defined in Clause 2.20.1
<b>Concession Agreement</b>	As defined in Clause 1.1.2
<b>Concessionaire</b>	As defined in Clause 1.1.2
<b>Conditions of Eligibility</b>	As defined in Clause 2.2.1
<b>Conflict of Interest</b>	As defined in Clause 2.3.1
<b>Consultancy</b>	As defined in Clause 1.2
<b>Consultancy Team</b>	As defined in [Clause 8] of Schedule-1
<b>Consultant</b>	As defined in Clause 1.2
<b>CV</b>	Curriculum Vitae
<b>DBFOT</b>	Design, Build, Finance, Operate and Transfer
<b>DBFOO</b>	Design, Build, Finance, Operate and Own
<b>Deliverables</b>	As defined in Clause 4 of Schedule-1
<b>Documents</b>	As defined in Clause 2.12
<b>Effective Date</b>	As defined in Clause 2.1 of Schedule-2
<b>Eligible Assignments</b>	As defined in Clause 3.1.4
<b>[ESIA</b>	Environmental and Social Impact Assessment]
<b>[ESMP</b>	Environmental and Social Management Plan]
<b>Expatriate Personnel</b>	As defined in Clause 1.1.1(i) of Schedule-2
<b>Feasibility Report or FR</b>	As specified in [Clause 4(D)] of Schedule-1
<b>Financial Proposal</b>	As defined in Clause 2.15.1
<b>Form of Agreement</b>	Form of Agreement as in Schedule-2
<b>INR, Re, Rs.</b>	Indian Rupee(s)
<b>Inception Report</b>	As specified in [Clause 4(A)] of Schedule-1

<b>Key Date or KD</b>	As defined in [Clause 6.2] of Schedule-1
<b>Key Personnel</b>	As defined in Clause 2.1.4
<b>Lead Member</b>	As defined in Clause 2.1.1
<b>LOA</b>	Letter of Award
<b>Member</b>	As defined in Clause 2.3.3(i)
<b>MTSA</b>	As defined in Clause 1.1.3
<b>Official Website</b>	As defined in Clause 1.11.2
<b>O&amp;M Plan</b>	As defined in Clause 3.10 of Schedule-1
<b>PPP</b>	Public Private Partnership
<b>Personnel</b>	As defined in Clause 1.1.1(m) of Schedule-2
<b>Professional Personnel</b>	As defined in Clause 2.14.6
<b>Prohibited Practices</b>	As defined in Clause 4.1
<b>Project</b>	As defined in Clause 1.1.1
<b>Project Manager</b>	As defined in Clause 4.6 of Schedule-2
<b>Proposal</b>	As defined in Clause 1.2
<b>Proposal Due Date or PDD</b>	As defined in Clauses 1.5 and 1.8
<b>Resident Personnel</b>	As defined in Clause 1.1.1(o) of Schedule-2
<b>RFP</b>	As defined in Disclaimer
<b>Selected Applicant</b>	As defined in Clause 1.6
<b>Selection Process</b>	As defined in Clause 1.6
<b>Services</b>	As defined in Clause 1.1.1(q) of Schedule-2
<b>Sole Firm</b>	As defined in Clause 2.1.1
<b>Statement of Expenses</b>	As defined in Note 13, Form-2 of Appendix-II
<b>Statutory Auditor</b>	An Auditor appointed under Applicable Laws
<b>Sub-Consultant</b>	As defined in Clause 1.1.1(r) of Schedule-2
<b>Support Personnel</b>	As defined in Clause 2.14.6
<b>Team Leader</b>	As defined in Clause 2.1.4
<b>Technical Proposal</b>	As defined in Clause 2.14.1
<b>Transmission Service Agreement or TSA</b>	As defined in Clause 1.1.2
<b>Transmission Service Provider or TSP</b>	As defined in Clause 1.1.2
<b>US\$</b>	United States Dollar

The words and expressions beginning with capital letters and defined in this document shall, unless repugnant to the context, have the meaning ascribed thereto herein.

# Invitation for Proposal



# 1. INTRODUCTION

## 1.1 Background<sup>1</sup>

- 1.1.1 [The Governor of the State of \*\*\*\*\*<sup>2</sup> acting through the Department of Power, Government of \*\*\*\*\*, and represented by the Secretary of the Department/ \*\*\*\*\*, \*\*\*\*\* and \*\*\*\*\* Electricity Distribution Companies/ \*\*\*\*\*, acting in its capacity as the State Transmission Utility/ State Electricity Board in the State of \*\*\*\*\* (the “**Authority**”) is/ are engaged in the development of a state transmission grid with a view to increasing and improving the supply of electricity and as part of this endeavour, the Authority has decided to undertake the development of a transmission system for the evacuation of electricity from \*\*\*\*\* MW thermal/ hydro power plant at \*\*\*\*\*, and for the transmission of \*\*\*\*\* MW of electricity between \*\*\*\*\* and \*\*\*\*\* as described in paragraph 1.2 of Schedule-1 (the “**Project**”) through Public Private Partnership (the “**PPP**”) on Design, Build, Finance, Operate and Transfer (the “**DBFOT**”)/ Design, Build, Finance, Operate and Own (the “**DBFOO**”) basis. The indicative cost of the Project is Rs. 500 cr. (Rupees five hundred crore)]<sup>3</sup>.
- 1.1.2 With a view to inviting bids for the Project, the Authority has decided to conduct a feasibility study for determining the technical feasibility and financial viability of the Project. If found technically feasible and financially viable, the Project may be awarded on [DBFOT/DBFOO] basis to a private entity (the “**Transmission Service Provider**” or “**TSP**” or “**Concessionaire**”) selected through a competitive bidding process. The Project would be implemented in accordance with the terms and conditions stated in the transmission service agreement or concession agreement to be entered into between the Authority and the Transmission Service Provider or Concessionaire (the “**Transmission Service Agreement**” or “**TSA**” or “**Concession Agreement**”).
- 1.1.3 In pursuance of the above, the Authority has decided to carry out the process for selection of a Technical Consultant, a Financial Consultant and a Legal Adviser for preparing the Feasibility Report and bid documents. The Authority and its Financial Consultant will develop the financial/ revenue model and the Financial Consultant will assist the Authority

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<sup>1</sup> Serially numbered footnotes in this RFP are for guidance of the Authority and should be omitted when the RFP for a project is issued. Footnotes marked “\$” shall be retained in the RFP.

<sup>2</sup> All asterisks in this RFP should be substituted by project specific details prior to issue of RFP.

<sup>3</sup> All provisions within square parenthesis may be suitably modified based on project-specific requirements. The square parenthesis should be removed after carrying out the required modification.

in the bidding process. The Legal Adviser will review the draft transmission service agreement based on the Model Transmission Service Agreement for developing transmission systems through Public Private Partnership (the “**MTSA**”) read with the regulations, rules and the provisions of the Electricity Act 2003 (the “**Act**”). The Technical Consultant shall prepare the Feasibility Report in accordance with the Terms of Reference specified at Schedule-1 (the “**TOR**”).

## **1.2 Request for Proposal**

The Authority invites Proposals (the “**Proposals**”) for selection of a Technical Consultant (the “**Consultant**”) who shall prepare a Feasibility Report for development of the Project. The Feasibility Report shall include [resource assessment; demand assessment; technical assessment, including but not limited to transmission system technology, voltage, route options and the alignment, sub-station sites; identifying construction and operational system requirements, including digital terrain modelling along the transmission line route; delineating capital and operating cost estimates, and recommending the most economic option through project economic analyses; identifying the Project’s technical risks and ways of mitigating them; and assessment of the environmental and social impact of the Project] in conformity with the TOR (collectively the “**Consultancy**”).

The Authority intends to select the Consultant through [an open competitive bidding/ limited tender enquiry process] in accordance with the procedure set out herein.

## **1.3 Due diligence by Applicants**

Applicants are encouraged to inform themselves fully about the assignment and the local conditions before submitting the Proposal by paying a visit to the Authority and the Project site, sending written queries to the Authority, and attending a Pre-Proposal Conference on the date and time specified in Clause 1.10.

## **1.4 Sale of RFP Document**

RFP document can be obtained between 1100 hrs and 1600 hrs on all working days on payment of a fee of Rs. 1,000 (Rupees one thousand only) in the form of a demand draft or banker’s cheque drawn on any Scheduled Bank in India in favour of \*\*\*\*\* and payable at \*\*\*\*\*. The document can also be downloaded from the Official Website of the Authority. In case of a downloaded form, the Applicant need not deposit the aforesaid fee.

## 1.5 Validity of the Proposal

The Proposal shall be valid for a period of not less than 90 days from the Proposal Due Date (the “PDD”).

## 1.6 Brief description of the Selection Process

The Authority has adopted a two stage selection process (collectively the “**Selection Process**”) in evaluating the Proposals comprising technical and financial bids to be submitted in two separate sealed envelopes. In the first stage, a technical evaluation will be carried out as specified in Clause 3.1. Based on this technical evaluation, a list of short-listed applicants shall be prepared as specified in Clause 3.2. In the second stage, a financial evaluation will be carried out as specified in Clause 3.3. Proposals will finally be ranked according to their combined technical and financial scores as specified in Clause 3.4. The first ranked Applicant shall be selected for negotiation (the “**Selected Applicant**”) while the second ranked Applicant will be kept in reserve.

## 1.7 Currency conversion rate and payment

- 1.7.1 For the purposes of technical evaluation of Applicants, [Rs. 50] per US\$ shall be considered as the applicable currency conversion rate. In case of any other currency, the same shall first be converted to US\$ as on the date 60 (sixty) days prior to the Proposal Due Date, and the amount so derived in US\$ shall be converted into INR at the aforesaid rate. The conversion rate of such currencies shall be the daily representative exchange rates published by the International Monetary Fund for the relevant date.
- 1.7.2 All payments to the Consultant shall be made in INR in accordance with the provisions of this RFP. The Consultant may convert INR into any foreign currency as per Applicable Laws and the exchange risk, if any, shall be borne by the Consultant.

## 1.8 Schedule of Selection Process

The Authority would endeavour to adhere to the following schedule:

Event Description	Estimated Date
1. Last date for receiving queries/ clarifications	[20 days prior to PDD]
2. Pre-Proposal Conference	[16 days prior to PDD]
3. Authority response to queries	[11 days prior to PDD]
4. Proposal Due Date or PDD	[To be specified]
5. Opening of Proposals	On Proposal Due Date
6. Letter of Award (LOA)	[Within 15 days of PDD]
7. Signing of Agreement	Within 10 days of LOA
8. Validity of Applications	90 days of Proposal Due Date

### 1.9 Pre-Proposal visit to the Site and inspection of data

Prospective applicants may visit the Site and review the available data at any time prior to PDD. For this purpose, they will provide at least two days' notice to the nodal officer specified below:

\*\*\*\*\*

\*\*\*\*\*

Phone: \*\*\*\*\*

Mobile: \*\*\*\*\*

Fax: \*\*\*\*\*

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

However, for the convenience of the Applicants, a pre-Proposal visit to the Site has been arranged on \*\*\*\*\*, at 1100 hrs. The Applicants who desire to avail this facility may visit \*\*\*\*\* on the date and time mentioned above.

### 1.10 Pre-Proposal Conference

The date, time and venue of Pre-Proposal Conference shall be:

Date: \*\*\*\*\*

Time: 1100 hrs

Venue: \*\*\*\*\*

### 1.11 Communications

1.11.1 All communications including the submission of Proposal should be addressed to:

\*\*\*\*\*

\*\*\*\*\*

Phone: \*\*\*\*\*

Mobile: \*\*\*\*\*

Fax: \*\*\*\*\*

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

1.11.2 The **Official Website** of the Authority is:

[http://www.\\*\\*\\*\\*\\*](http://www.*****)

[Note: Please open the page '\*\*\*\*\*' and then page '\*\*\*\*\*' to access all the posted and uploaded documents related to this RFP].

1.11.3 All communications, including the envelopes, should contain the following information, to be marked at the top in bold letters:

RFP Notice No. \*\*\*\*\*

**FEASIBILITY REPORT**

## 2. INSTRUCTIONS TO APPLICANTS

### A. GENERAL

#### 2.1 Scope of Proposal

2.1.1 Detailed description of the objectives, scope of services, Deliverables and other requirements relating to this Consultancy are specified in this RFP. In case an applicant firm possesses the requisite experience and capabilities required for undertaking the Consultancy, it may participate in the Selection Process either individually (the “**Sole Firm**”) or as lead member of a consortium of firms (the “**Lead Member**”) in response to this invitation (the “**Applicant**”). The term Applicant means the Sole Firm or the Lead Member, as the case may be. The manner in which the Proposal is required to be submitted, evaluated and accepted is explained in this RFP.

2.1.2 Applicants are advised that the selection of Consultant shall be on the basis of an evaluation by the Authority through the Selection Process specified in this RFP. Applicants shall be deemed to have understood and agreed that no explanation or justification for any aspect of the Selection Process will be given and that the Authority’s decisions are without any right of appeal whatsoever.

2.1.3 The Applicant shall submit its Proposal in the form and manner specified in this Part-2 of the RFP. The Technical proposal shall be submitted in the form at Appendix-I and the Financial Proposal shall be submitted in the form at Appendix-II. Upon selection, the Applicant shall be required to enter into an agreement with the Authority in the form specified at Schedule-2.

#### 2.1.4 Key Personnel

The Consultancy Team shall consist of the following key personnel (the “**Key Personnel**”) who shall discharge their respective responsibilities as specified below:

<b>Key Personnel<sup>4</sup></b>	<b>Responsibilities</b>
<b>Senior System Engineer-cum-Team Leader (the “Team Leader”)</b>	He will lead, co-ordinate and supervise the multidisciplinary team for preparation of the Feasibility Report. He shall spend at least [30 (thirty) days] at the Project site.

<sup>4</sup> Key Personnel and their responsibilities may be modified as per project-specific requirements.

<b>Transmission Expert</b>	He will be responsible for finalisation of the route alignment of the transmission system. He shall spend at least [20 (twenty)] days at the Project site.
<b>Sub-Station Expert</b>	He will be responsible for selection and finalisation of alternative sites for, and design of, the sub-station(s). He shall spend at least [20 (twenty)] days at the Project site.
<b>Surveyor</b>	He will be responsible for survey of the project transmission system. He shall spend at least [30 (thirty)] days at the Project site.
<b>Financial Analyst</b>	He will be responsible for financial analysis and modeling of the proposed Project. He shall spend at least [2 (two)] days at the Project site.
<b>[Environmental and Social Impact Assessment Expert</b>	He will be responsible for Environmental and Social Impact Assessment of the Project. He shall spend at least 7 (seven) days at the Project site.]

## 2.2 Conditions of Eligibility of Applicants

- 2.2.1 Applicants must read carefully the minimum conditions of eligibility (the “**Conditions of Eligibility**”) provided herein. Proposals of only those Applicants who satisfy the Conditions of Eligibility will be considered for evaluation.
- 2.2.2 To be eligible for evaluation of its Proposal, the Applicant shall fulfil the following:
- (A) **Technical Capacity:** The Applicant shall have, over the past 5 (five) years preceding the PDD, undertaken a minimum of [5 (five)] Eligible Assignments as specified in Clause 3.1.4.
- (B) **Financial Capacity:** The Applicant shall have received a minimum income of [Rs.2 (two) crore <sup>5</sup> or US \$ 1 (one) million]<sup>6</sup> per annum from professional fees during each of the three financial years preceding the Proposal Due Date. For the purpose of evaluation, Applicants having comparatively larger revenues from professional fees shall be given added weightage. For the avoidance of doubt, professional fees hereunder refers to fees received by the Applicant for providing advisory or consultancy services to its clients.

<sup>5</sup> This amount may be fixed at about 2% of the indicative cost of the Project. For projects exceeding Rs. 1,000 crore, it may be suitably reduced but to no less than 1% of the cost of the Project.

<sup>6</sup> The ratio of Rs. 2 crore to US\$ 1 million may be maintained if the amount in rupees is modified.

- (C) **Availability of Key Personnel:** The Applicant shall offer and make available all Key Personnel meeting the requirements specified in Sub-Clause (D) below.
- (D) **Conditions of Eligibility for Key Personnel:** Each of the Key Personnel must fulfill the Conditions of Eligibility<sup>7</sup> specified below:

<b>Key Personnel</b>	<b>Educational Qualification</b>	<b>Length of Professional Experience</b>	<b>Experience on Eligible Assignments</b>
Senior System Engineer-cum-Team leader	Graduate in Electrical/ Electronics/ Mechanical Engineering	10 years	He should have led the feasibility study teams for [2 (two)] Eligible Assignments.
Transmission Expert	Graduate in Electrical/ Electronics/ Mechanical Engineering	7 years	He should have worked as a Transmission Expert for [2 (two)] Eligible Assignments.
Sub-Station Expert	Graduate in Electrical/ Electronics Engineering/ Planning	7 years	He should have worked as a Sub-Station Expert for [2 (two)] Eligible Assignments.
Surveyor	Diploma in Surveying or Graduate/ Diploma in Civil Engineering	7 years	He should have worked as Surveyor for [2 (two)] Eligible Assignments.
Financial Analyst	Post Graduate in Commerce/ Chartered Accountant or equivalent	7 years	He should have undertaken financial analysis and modeling for [2 (two)] Eligible Assignments.

<sup>7</sup> The Key Personnel and their Conditions of Eligibility may be suitably modified to address project-specific requirements.

[Environmental and Social Impact Assessment Expert Eligible Assignments.]	Masters/ Bachelor in Environmental Science or equivalent	7 years	He should have led the environmental and social impact assessment teams or worked as a sole expert for [2 (two)]
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- 2.2.3 The Applicant shall enclose with its Proposal, certificate(s) from its Statutory Auditors<sup>5</sup> stating its total revenues from professional fees during each of the past three financial years and the fee received in respect of each of the Eligible Assignments specified in the Proposal. In the event that the Applicant does not have a statutory auditor, it shall provide the requisite certificate(s) from the firm of Chartered Accountants that ordinarily audits the annual accounts of the Applicant.
- 2.2.4 The Applicant should submit a Power of Attorney as per the format at Form-4 of Appendix-I; provided, however, that such Power of Attorney would not be required if the Application is signed by a partner of the Applicant, in case the Applicant is a partnership firm or limited liability partnership.
- 2.2.5 Any entity which has been barred by the Central Government, any State Government, a statutory authority or a public sector undertaking, as the case may be, from participating in any project, and the bar subsists as on the date of Proposal, would not be eligible to submit a Proposal either by itself or through its Associate.
- 2.2.6 An Applicant or its Associate should have, during the last three years, neither failed to perform on any agreement, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial pronouncement or arbitration award against the Applicant or its Associate, nor been expelled from any project or agreement nor have had any agreement terminated for breach by such Applicant or its Associate.
- 2.2.7 While submitting a Proposal, the Applicant should attach clearly marked and referenced continuation sheets in the event that the space provided in the specified forms in the Appendices is insufficient. Alternatively, Applicants may format the specified forms making due provision for incorporation of the requested information.

### 2.3 Conflict of Interest

- 2.3.1 An Applicant shall not have a conflict of interest that may affect the Selection Process

<sup>5</sup> No separate annual financial statements should be submitted.

or the Consultancy (the “**Conflict of Interest**”). Any Applicant found to have a Conflict of Interest shall be disqualified. In the event of disqualification, the Authority shall forfeit and appropriate the Bid Security as mutually agreed genuine pre-estimated compensation and damages payable to the Authority for, *inter alia*, the time, cost and effort of the Authority including consideration of such Applicant’s Proposal, without prejudice to any other right or remedy that may be available to the Authority hereunder or otherwise.

- 2.3.2 The Authority requires that the Consultant provides professional, objective, and impartial advice and at all times hold the Authority’s interests paramount, avoid conflicts with other assignments or its own interests, and act without any consideration for future work. The Consultant shall not accept or engage in any assignment that would be in conflict with its prior or current obligations to other clients, or that may place it in a position of not being able to carry out the assignment in the best interests of the Authority.
- 2.3.3 Some guiding principles for identifying and addressing Conflicts of Interest have been illustrated in the Guidance Note at Schedule-3. Without limiting the generality of the above, an Applicant shall be deemed to have a Conflict of Interest affecting the Selection Process, if:
- (a) The Applicant, its consortium member (the “**Member**”) or Associate (or any constituent thereof) and any other Applicant, its consortium member or Associate (or any constituent thereof) have common controlling shareholders or other ownership interest; provided that this disqualification shall not apply in cases where the direct or indirect shareholding or ownership interest of an Applicant, its Member or Associate (or any shareholder thereof having a shareholding of more than 5 per cent of the paid up and subscribed share capital of such Applicant, Member or Associate, as the case may be) in the other Applicant, its consortium member or Associate is less than 5 per cent of the subscribed and paid up equity share capital thereof; provided further that this disqualification shall not apply to any ownership by a bank, insurance company, pension fund or a public financial institution referred to in section 4A of the Companies Act 1956. For the purposes of this Clause 2.3.3(a), indirect shareholding held through one or more intermediate persons shall be computed as follows: (aa) where any intermediary is controlled by a person through management control or otherwise, the entire shareholding held by such controlled intermediary in any other person (the “**Subject Person**”) shall be taken into account for computing the shareholding of such controlling person in the Subject Person; and (bb) subject always to sub-clause (aa) above, where a person does not exercise control over an intermediary, which has shareholding in the Subject Person, the computation of indirect shareholding of such person in the Subject Person shall be undertaken

on a proportionate basis; provided, however, that no such shareholding shall be reckoned under this sub-clause (bb) if the shareholding of such person in the intermediary is less than 26% (twenty-six per cent) of the subscribed and paid up equity shareholding of such intermediary; or

- (b) a constituent of such Applicant is also a constituent of another Applicant; or
- (c) such Applicant or its Associate receives or has received any direct or indirect subsidy or grant from any other Applicant or its Associate; or
- (d) such Applicant has the same legal representative for purposes of this Application as any other Applicant; or
- (e) such Applicant has a relationship with another Applicant, directly or through common third parties, that puts them in a position to have access to each others' information about, or to influence the Application of either or each of the other Applicant; or
- (f) there is a conflict among this and other consulting assignments of the Applicant (including its personnel and Sub-consultant) and any subsidiaries or entities controlled by such Applicant or having common controlling shareholders. The duties of the Consultant will depend on the circumstances of each case. While providing consultancy services to the Authority for this particular assignment, the Consultant shall not take up any assignment that by its nature will result in conflict with the present assignment; or
- (g) a firm which has been engaged by the Authority to provide goods or works or services for a project, and its Associates, will be disqualified from providing consulting services for the same project save and except as provided in Clause 2.3.4; conversely, a firm hired to provide consulting services for the preparation or implementation of a project, and its Members or Associates, will be disqualified from subsequently providing goods or works or services related to the same project; or
- (h) the Applicant, its Member or Associate (or any constituent thereof), and the bidder or Transmission Service Provider, if any, for the Project, its contractor(s) or sub-contractor(s) (or any constituent thereof) have common controlling shareholders or other ownership interest; provided that this disqualification shall not apply in cases where the direct or indirect shareholding or ownership interest of an Applicant, its Member or Associate (or any shareholder thereof having a

shareholding of more than 5% (five per cent) of the paid up and subscribed share capital of such Applicant, Member or Associate, as the case may be,) in the bidder or Transmission Service Provider, if any, or its contractor(s) or sub-contractor(s) is less than 5% (five per cent) of the paid up and subscribed share capital of such Transmission Service Provider or its contractor(s) or sub-contractor(s); provided further that this disqualification shall not apply to ownership by a bank, insurance company, pension fund or a Public Financial Institution referred to in section 4A of the Companies Act, 1956. For the purposes of this sub-clause (h), indirect shareholding shall be computed in accordance with the provisions of sub-clause (a) above.

For purposes of this RFP, Associate means, in relation to the Applicant, a person who controls, is controlled by, or is under the common control with such Applicant (the “**Associate**”). As used in this definition, the expression “control” means, with respect to a person which is a company or corporation, the ownership, directly or indirectly, of more than 50% (fifty per cent) of the voting shares of such person, and with respect to a person which is not a company or corporation, the power to direct the management and policies of such person by operation of law or by contract.

- 2.3.4 An Applicant eventually appointed to provide Consultancy for this Project, and its Associates, shall be disqualified from subsequently providing goods or works or services related to the construction and operation of the same Project and any breach of this obligation shall be construed as Conflict of Interest; provided that the restriction herein shall not apply after a period of 5 (five) years from the completion of this assignment or to consulting assignments granted by banks/ lenders at any time; provided further that this restriction shall not apply to consultancy/ advisory services performed for the Authority in continuation of this Consultancy or to any subsequent consultancy/ advisory services performed for the Authority in accordance with the rules of the Authority. For the avoidance of doubt, an entity affiliated with the Consultant shall include a partner in the Consultant’s firm or a person who holds more than 5% (five per cent) of the subscribed and paid up share capital of the Consultant, as the case may be, and any Associate thereof.

## **2.4 Number of Proposals**

No Applicant or its Associate shall submit more than one Application for the Consultancy. An Applicant applying individually or as an Associate shall not be entitled to submit another application either individually or as a member of any consortium, as the case may be.

## **2.5 Cost of Proposal**

The Applicants shall be responsible for all of the costs associated with the preparation of their Proposals and their participation in the Selection Process including subsequent negotiation, visits to the Authority, Project site etc. The Authority will not be responsible or in any way liable for such costs, regardless of the conduct or outcome of the Selection Process.

## **2.6 Site visit and verification of information**

Applicants are encouraged to submit their respective Proposals after visiting the Project site and ascertaining for themselves the site conditions, traffic, location, surroundings, climate, access to the site, availability of drawings and other data with the Authority, Applicable Laws and regulations or any other matter considered relevant by them. Visits shall be organised for the benefit of prospective Applicants on dates, time and venue as specified in Clause 1.9.

## **2.7 Acknowledgement by Applicant**

2.7.1 It shall be deemed that by submitting the Proposal, the Applicant has:

- (a) Made a complete and careful examination of the RFP;
- (b) received all relevant information requested from the Authority;
- (c) acknowledged and accepted the risk of inadequacy, error or mistake in the information provided in the RFP or furnished by or on behalf of the Authority or relating to any of the matters referred to in Clause 2.6 above;
- (d) satisfied itself about all matters, things and information, including matters referred to in Clause 2.6 herein above, necessary and required for submitting an informed Application and performance of all of its obligations thereunder;
- (e) acknowledged that it does not have a Conflict of Interest; and
- (f) agreed to be bound by the undertaking provided by it under and in terms hereof.

2.7.2 The Authority shall not be liable for any omission, mistake or error on the part of the Applicant in respect of any of the above or on account of any matter or thing arising out of or concerning or relating to RFP or the Selection Process, including any error or mistake therein or in any information or data given by the Authority.

## **2.8 Right to reject any or all Proposals**

- 2.8.1 Notwithstanding anything contained in this RFP, the Authority reserves the right to accept or reject any Proposal and to annul the Selection Process and reject all Proposals, at any time without any liability or any obligation for such acceptance, rejection or annulment, and without assigning any reasons thereof.
- 2.8.2 Without prejudice to the generality of Clause 2.8.1, the Authority reserves the right to reject any Proposal if:
- (a) at any time, a material misrepresentation is made or discovered, or
  - (b) the Applicant does not provide, within the time specified by the Authority, the supplemental information sought by the Authority for evaluation of the Proposal.

Misrepresentation/ improper response by the Applicant may lead to the disqualification of the Applicant. If the Applicant is the Lead Member of a consortium, then the entire consortium may be disqualified/ rejected. If such disqualification/ rejection occurs after the Proposals have been opened and the highest ranking Applicant gets disqualified/ rejected, then the Authority reserves the right to consider the next best Applicant, or take any other measure as may be deemed fit in the sole discretion of the Authority, including annulment of the Selection Process.

## **B. DOCUMENTS**

### **2.9 Contents of the RFP**

- 2.9.1 This RFP comprises the Disclaimer set forth hereinabove, the contents as listed below and will additionally include any Addendum/ Amendment issued in accordance with Clause 2.11:

#### **Request for Proposal**

- 1 Introduction
- 2 Instructions to Applicants
- 3 Criteria for Evaluation
- 4 Fraud and corrupt practices
- 5 Pre-Proposal Conference
- 6 Miscellaneous

**Schedules****1 Terms of Reference****2 Form of Agreement**

- Annex-1 : Terms of Reference
- Annex-2 : Deployment of Personnel
- Annex-3 : Estimate of Personnel Costs
- Annex-4 : Approved Sub-Consultant(s)
- Annex-5 : Cost of Services
- Annex-6 : Payment Schedule
- Annex-7 : Bank Guarantee for Performance Security

**3 Guidance Note on Conflict of Interest****Appendices****Appendix-I: Technical Proposal**

- Form 1 : Letter of Proposal
- Form 2 : Particulars of the Applicant
- Form 3 : Statement of Legal Capacity
- Form 4 : Power of Attorney
- Form 5 : Financial Capacity of Applicant
- Form 6 : Particulars of Key Personnel
- Form 7 : Proposed Methodology and Work Plan
- Form 8 : Abstract of Eligible Assignments of Applicant
- Form 9 : Abstract of Eligible Assignments of Key Personnel
- Form 10 : Eligible Assignments of Applicant
- Form 11 : Eligible Assignments of Key Personnel
- Form 12 : Curriculum Vitae of Key Personnel
- Form 13 : Deployment of Personnel
- Form 14 : Survey and Field Investigations
- Form 15 : Proposal for Sub-Consultant(s)

**Appendix-II: Financial Proposal**

- Form 1 : Covering Letter
- Form 2 : Financial Proposal
- Form 3 : Estimate of Personnel Costs

## 2.10 Clarifications

2.10.1 Applicants requiring any clarification on the RFP may send their queries to the Authority in writing before the date mentioned in the Schedule of Selection Process at Clause 1.8. The envelopes shall clearly bear the following identification:

“Queries/ Request for Additional Information concerning RFP”

The Authority shall endeavour to respond to the queries within the period specified therein but not later than 7 (seven) days prior to the Proposal Due Date. The responses will be sent by fax or e-mail. The Authority will post the reply to all such queries on the Official Website and copies thereof will also be circulated to all Applicants who have purchased the RFP document without identifying the source of queries.

2.10.2 The Authority reserves the right not to respond to any questions or provide any clarifications, in its sole discretion, and nothing in this Clause 2.10 shall be construed as obliging the Authority to respond to any question or to provide any clarification.

## 2.11 Amendment of RFP

2.11.1 At any time prior to the deadline for submission of Proposal, the Authority may, for any reason, whether at its own initiative or in response to clarifications requested by an Applicant, modify the RFP document by the issuance of Addendum/ Amendment and posting it on the Official Website and by conveying the same to the prospective Applicants (who have purchased the RFP document) by fax or e-mail.

2.11.2 All such amendments will be notified in writing through fax or e-mail to all Applicants who have purchased the RFP document. The amendments will also be posted on the Official Website along with the revised RFP containing the amendments and will be binding on all Applicants.

2.11.3 In order to afford the Applicants a reasonable time for taking an amendment into account, or for any other reason, the Authority may, in its sole discretion, extend the Proposal Due Date<sup>5</sup>.

## C. PREPARATION AND SUBMISSION OF PROPOSAL

### 2.12 Language

The Proposal with all accompanying documents (the “**Documents**”) and all communications

<sup>5</sup> While extending the Proposal Due Date on account of an addendum, the Authority shall have due regard for the time required by bidders to address the amendments specified therein. In the case of significant amendments, at least 15 (fifteen) days shall be provided between the date of amendment and the Proposal Due Date, and in the case of minor amendments, at least 7 (seven) days shall be provided.

in relation to or concerning the Selection Process shall be in English language and strictly on the forms provided in this RFP. No supporting document or printed literature shall be submitted with the Proposal unless specifically asked for and in case any of these Documents is in another language, it must be accompanied by an accurate translation of the relevant passages in English, in which case, for all purposes of interpretation of the Proposal, the translation in English shall prevail.

### **2.13 Format and signing of Proposal**

2.13.1 The Applicant shall provide all the information sought under this RFP. The Authority would evaluate only those Proposals that are received in the specified forms and complete in all respects.

2.13.2 The Applicant shall prepare one original set of the Proposal (together with originals/ copies of Documents required to be submitted along therewith pursuant to this RFP) and clearly marked "ORIGINAL". In addition, the Applicant shall submit 2 (two) copies of the Proposal, alongwith Documents, marked "COPY". In the event of any discrepancy between the original and its copies, the original shall prevail.

2.13.3 The Proposal and its copy shall be typed or written in indelible ink and signed by the authorised signatory of the Applicant who shall initial each page, in blue ink. In case of printed and published Documents, only the cover shall be initialled. All the alterations, omissions, additions, or any other amendments made to the Proposal shall be initialled by the person(s) signing the Proposal. The Proposals must be properly signed by the authorised representative (the "**Authorised Representative**") as detailed below:

- (a) By the proprietor, in case of a proprietary firm; or
- (b) by a partner, in case of a partnership firm and/or a limited liability partnership; or
- (c) by a duly authorised person holding the Power of Attorney, in case of a Limited Company or a corporation; or
- (d) by the authorised representative of the Lead Member, in case of consortium.

A copy of the Power of Attorney certified under the hands of a partner or director of the Applicant and notarised by a notary public in the form specified in Appendix-I (Form-4) shall accompany the Proposal.

2.13.4 Applicants should note the Proposal Due Date, as specified in Clause 1.8, for submission of Proposals. Except as specifically provided in this RFP, no supplementary material will

be entertained by the Authority, and that evaluation will be carried out only on the basis of Documents received by the closing time of Proposal Due Date as specified in Clause 2.17.1. Applicants will ordinarily not be asked to provide additional material information or documents subsequent to the date of submission, and unsolicited material if submitted will be summarily rejected. For the avoidance of doubt, the Authority reserves the right to seek clarifications under and in accordance with the provisions of Clause 2.23.

## **2.14 Technical Proposal**

2.14.1 Applicants shall submit the technical proposal in the formats at Appendix-I (the “**Technical Proposal**”).

2.14.2 While submitting the Technical Proposal, the Applicant shall, in particular, ensure that:

- (a) The Bid Security is provided;
- (b) all forms are submitted in the prescribed formats and signed by the prescribed signatories;
- (c) Power of Attorney, if applicable, is executed as per Applicable Laws;
- (d) CVs of all Professional Personnel have been included;
- (e) Key Personnel have been proposed only if they meet the Conditions of Eligibility laid down at Clause 2.2.2 (D) of the RFP;
- (f) no alternative proposal for any Key Personnel is being made and only one CV for each position has been furnished;
- (g) the CVs have been recently signed and dated in blue ink by the respective Personnel and countersigned by the Applicant. Photocopy or unsigned/ countersigned CVs shall be rejected;
- (h) the CVs shall contain an undertaking from the respective Key Personnel about his/her availability for the duration specified in the RFP;
- (i) Professional Personnel proposed have good working knowledge of English language;
- (j) Key Personnel would be available for the period indicated in the TOR;
- (k) no Key Personnel should have attained the age of 75 years at the time of submitting the proposal; and
- (l) the proposal is responsive in terms of Clause 2.21.3.

- 2.14.3 Failure to comply with the requirements spelt out in this Clause 2.14 shall make the Proposal liable to be rejected.
- 2.14.4 If an individual Key Personnel makes a false averment regarding his qualification, experience or other particulars, or his commitment regarding availability for the Project is not fulfilled at any stage after signing of the Agreement, he shall be liable to be debarred for any future assignment of the Authority for a period of 5 (five) years. The award of this Consultancy to the Applicant may also be liable to cancellation in such an event.
- 2.14.5 The Technical Proposal shall not include any financial information relating to the Financial Proposal.
- 2.14.6 The proposed team shall be composed of experts and specialists (the “**Professional Personnel**”) in their respective areas of expertise and managerial/ support staff (the “**Support Personnel**”) such that the Consultant should be able to complete the Consultancy within the specified time schedule. The Key Personnel specified in Clause 2.1.4 shall be included in the proposed team of Professional Personnel. Other competent and experienced Professional Personnel in the relevant areas of expertise must be added as required for successful completion of this Consultancy. The CV of each such Professional Personnel, if any, should also be submitted in the format at Form-12 of Appendix-I.
- 2.14.7 An Applicant may, if it considers necessary, propose suitable Sub-Consultants in specific areas of expertise. Credentials of such firms should be submitted in Form-15 of Appendix-I. A Sub-Consultant, however, shall not be a substitute for any Key Personnel.
- 2.14.8 The Authority reserves the right to verify all statements, information and documents, submitted by the Applicant in response to the RFP. Any such verification or the lack of such verification by the Authority to undertake such verification shall not relieve the Applicant of its obligations or liabilities hereunder nor will it affect any rights of the Authority thereunder.
- 2.14.9 In case it is found during the evaluation or at any time before signing of the Agreement or after its execution and during the period of subsistence thereof, that one or more of the eligibility conditions have not been met by the Applicant or the Applicant has made material misrepresentation or has given any materially incorrect or false information, the Applicant shall be disqualified forthwith if not yet appointed as the Consultant either by issue of the LOA or entering into of the Agreement, and if the Selected Applicant has already been issued the LOA or has entered into the Agreement, as the case may be, the same shall, notwithstanding anything to the contrary contained therein or in this RFP, be liable to be terminated, by a communication in writing by the Authority without the

Authority being liable in any manner whatsoever to the Applicant or Consultant, as the case may be.

In such an event, the Authority shall forfeit and appropriate the Bid Security as mutually agreed pre-estimated compensation and damages payable to the Authority for, *inter alia*, time, cost and effort of the Authority, without prejudice to any other right or remedy that may be available to the Authority.

## **2.15 Financial Proposal**

2.15.1 Applicants shall submit the financial proposal in the formats at Appendix-II (the “**Financial Proposal**”) clearly indicating the total cost of the Consultancy (Item [G] of Form-2 of Appendix II) in both figures and words, in Indian Rupees, and signed by the Applicant’s Authorised Representative. In the event of any difference between figures and words, the amount indicated in words shall prevail. In the event of a difference between the arithmetic total and the total shown in the Financial Proposal, the lower of the two shall prevail.

2.15.2 While submitting the Financial Proposal, the Applicant shall ensure the following:

- (i) All the costs associated with the assignment shall be included in the Financial Proposal. These shall normally cover remuneration for all the Personnel (Expatriate and Resident, in the field, office etc), accommodation, air fare, equipment, printing of documents, surveys, geo-technical investigations etc. The total amount indicated in the Financial Proposal shall be without any condition attached or subject to any assumption, and shall be final and binding. In case any assumption or condition is indicated in the Financial Proposal, it shall be considered non-responsive and liable to be rejected.
- (ii) The Financial Proposal shall take into account all expenses and tax liabilities. For the avoidance of doubt, it is clarified that all taxes shall be deemed to be included in the costs shown under different items of the Financial Proposal. Further, all payments shall be subject to deduction of taxes at source as per Applicable Laws.
- (iii) Costs (including break down of costs) shall be expressed in INR.

## **2.16 Submission of Proposal**

2.16.1 The Applicants shall submit the Proposal in hard bound form with all pages numbered serially and by giving an index of submissions. Each page of the submission shall be initialled by the Authorised Representative of the Applicant as per the terms of the RFP.

In case the proposal is submitted on the document down loaded from Official Website, the Applicant shall be responsible for its accuracy and correctness as per the version uploaded by the Authority and shall ensure that there are no changes caused in the content of the downloaded document. In case of any discrepancy between the downloaded or photocopied version of the RFP and the original RFP issued by the Authority, the latter shall prevail.

- 2.16.2 The Proposal will be sealed in an outer envelope which will bear the address of the Authority, RFP Notice number, Consultancy name as indicated at Clause 1.11.1 and 1.11.3 and the name and address of the Applicant. It shall bear on top, the following:

“Do not open, except in presence of the Authorised Person of the Authority”

If the envelope is not sealed and marked as instructed above, the Authority assumes no responsibility for the misplacement or premature opening of the contents of the Proposal submitted and consequent losses, if any, suffered by the Applicant.

- 2.16.3 The aforesaid outer envelope will contain two separate sealed envelopes, one clearly marked ‘**Technical Proposal**’ and the other clearly marked ‘**Financial Proposal**’. The envelope marked “Technical Proposal” shall contain:

- (i) Application in the prescribed format (Form-1 of Appendix-I) along with Forms 2 to 15 of Appendix-I and supporting documents; and
- (ii) Bid Security as specified in Clause No. 2.20.1

The envelope marked “Financial Proposal” shall contain the financial proposal in the prescribed format (Forms 1, 2 and 3 of Appendix-II).

- 2.16.4 The Technical Proposal and Financial Proposal shall be typed or written in indelible ink and signed by the Authorised Representative of the Applicant. All pages of the original Technical Proposal and Financial Proposal must be numbered and initialed by the person or persons signing the Proposal.
- 2.16.5 The completed Proposal must be delivered on or before the specified time on Proposal Due Date. Proposals submitted by fax, telex, telegram or e-mail shall not be entertained.
- 2.16.6 The Proposal shall be made in the Forms specified in this RFP. Any attachment to such Forms must be provided on separate sheets of paper and only information that is directly relevant should be provided. This may include photocopies of the relevant pages of printed documents. No separate documents like printed annual statements, company brochures, copy of contracts etc. will be entertained.

2.16.7 The rates quoted shall be firm throughout the period of performance of the assignment upto and including acceptance of the Feasibility Report by the Authority and discharge of all obligations of the Consultant under the Agreement.

## **2.17 Proposal Due Date**

2.17.1 Proposal should be submitted at or before 1100 hrs on the Proposal Due Date specified at Clause 1.8 at the address provided in Clause 1.11 in the manner and form as detailed in this RFP. A receipt thereof should be obtained from the person specified therein.

2.17.2 The Authority may, in its sole discretion, extend the Proposal Due Date by issuing an Addendum in accordance with Clause 2.11 uniformly for all Applicants.

## **2.18 Late Proposals**

Proposals received by the Authority after the specified time on Proposal Due Date shall not be eligible for consideration and shall be summarily rejected.

## **2.19 Modification/ substitution/ withdrawal of Proposals**

2.19.1 The Applicant may modify, substitute, or withdraw its Proposal after submission, provided that written notice of the modification, substitution, or withdrawal is received by the Authority prior to Proposal Due Date. No Proposal shall be modified, substituted, or withdrawn by the Applicant on or after the Proposal Due Date.

2.19.2 The modification, substitution, or withdrawal notice shall be prepared, sealed, marked, and delivered in accordance with Clause 2.16, with the envelopes being additionally marked “MODIFICATION”, “SUBSTITUTION” or “WITHDRAWAL”, as appropriate.

2.19.3 Any alteration / modification in the Proposal or additional information or material supplied subsequent to the Proposal Due Date, unless the same has been expressly sought for by the Authority, shall be disregarded.

## **2.20 Bid Security**

2.20.1 The Applicant shall furnish as part of its Proposal, a bid security of [Rs. 25,000 (twenty five thousand)]<sup>8</sup> in the form of a Demand Draft issued by one of the Nationalised/ Scheduled Banks in India in favour of the \*\*\*\*\* payable at \*\*\*\*\* (the “**Bid Security**”), returnable not later than 30 (thirty) days from PDD except in case of the two highest ranked Applicants as required in Clause 2.24.1. In the event that the first ranked Applicant commences the assignment as required in Clause 2.29, the second ranked Applicant, who

<sup>8</sup> May be fixed @ Rs. 25,000 for every Rs. 100 crore of the indicative cost of the Project, subject to a minimum of Rs. 25,000 and a maximum of Rs. 2,00,000.

has been kept in reserve, shall be returned its Bid Security forthwith, but in no case not later than 120 (one hundred and twenty) days from PDD. The Selected Applicant's Bid Security shall be returned, upon the Applicant signing the Agreement and completing the Deliverables assigned to it for the first 2 (two) months of the Consultancy in accordance with the provisions thereof.

- 2.20.2 Any Bid not accompanied by the Bid Security shall be rejected by the Authority as non-responsive.
- 2.20.3 The Authority shall not be liable to pay any interest on the Bid Security and the same shall be interest free.
- 2.20.4 The Applicant, by submitting its Application pursuant to this RFP, shall be deemed to have acknowledged that without prejudice to the Authority's any other right or remedy hereunder or in law or otherwise, the Bid Security shall be forfeited and appropriated by the Authority as the mutually agreed pre-estimated compensation and damage payable to the Authority for, *inter alia*, the time, cost and effort of the Authority in regard to the RFP including the consideration and evaluation of the Proposal under the following conditions:
- (a) If an Applicant submits a non-responsive Proposal;
  - (b) if an Applicant engages in any of the Prohibited Practices specified in Clause 4 of this RFP;
  - (c) if an Applicant withdraws its Proposal during the period of its validity as specified in this RFP and as extended by the Applicant from time to time;
  - (d) in the case of the Selected Applicant, if the Applicant fails to reconfirm its commitments during negotiations as required vide Clause 2.24.1;
  - (e) in the case of a Selected Applicant, if the Applicant fails to sign the Agreement or commence the assignment as specified in Clause 2.28 and 2.29 respectively;  
or
  - (f) if the Applicant is found to have a Conflict of Interest as specified in Clause 2.3.

## **D. EVALUATION PROCESS**

### **2.21 Evaluation of Proposals**

- 2.21.1 The Authority shall open the Proposals at 1130 hours on the Proposal Due Date, at the place specified in Clause 1.11.1 and in the presence of the Applicants who choose to attend. The envelopes marked "Technical Proposal" shall be opened first. The envelopes

marked “Financial Proposal” shall be kept sealed for opening at a later date.

- 2.21.2 Proposals for which a notice of withdrawal has been submitted in accordance with Clause 2.19 shall not be opened.
- 2.21.3 Prior to evaluation of Proposals, the Authority will determine whether each Proposal is responsive to the requirements of the RFP. The Authority may, in its sole discretion, reject any Proposal that is not responsive hereunder. A Proposal shall be considered responsive only if:
- (a) The Technical Proposal is received in the form specified at Appendix-I;
  - (b) it is received by the Proposal Due Date including any extension thereof pursuant to Clause 2.17;
  - (c) it is accompanied by the Bid Security as specified in Clause 2.20.1;
  - (d) it is signed, sealed, bound together in hard cover and marked as stipulated in Clauses 2.13 and 2.16;
  - (e) it is accompanied by the Power of Attorney as specified in Clause 2.2.4;
  - (f) it contains all the information (complete in all respects) as requested in the RFP;
  - (g) it does not contain any condition or qualification; and
  - (h) it is not non-responsive in terms hereof.
- 2.21.4 The Authority reserves the right to reject any Proposal which is non-responsive and no request for alteration, modification, substitution or withdrawal shall be entertained by the Authority in respect of such Proposals.
- 2.21.5 The Authority shall subsequently examine and evaluate Proposals in accordance with the Selection Process specified at Clause 1.6 and the criteria set out in Section 3 of this RFP.
- 2.21.6 After the technical evaluation, the Authority shall prepare a list of pre-qualified and shortlisted Applicants in terms of Clause 3.2 for opening of their Financial Proposals. A date, time and venue will be notified to all Applicants for announcing the result of evaluation and opening of Financial Proposals. Before opening of the Financial Proposals, the list of pre-qualified and shortlisted Applicants along with their Technical Score will be read out. The opening of Financial Proposals shall be done in presence of respective representatives of Applicants who choose to be present. The Authority will not entertain any query or clarification from Applicants who fail to qualify at any stage of the Selection

Process. The financial evaluation and final ranking of the Proposals shall be carried out in terms of Clauses 3.3 and 3.4.

- 2.21.7 Applicants are advised that Selection shall be entirely at the discretion of the Authority. Applicants shall be deemed to have understood and agreed that the Authority shall not be required to provide any explanation or justification in respect of any aspect of the Selection Process or Selection.
- 2.21.8 Any information contained in the Proposal shall not in any way be construed as binding on the Authority, its agents, successors or assigns, but shall be binding against the Applicant if the Consultancy is subsequently awarded to it.

## **2.22 Confidentiality**

Information relating to the examination, clarification, evaluation, and recommendation for the selection of Applicants shall not be disclosed to any person who is not officially concerned with the process or is not a retained professional adviser advising the Authority in relation to matters arising out of, or concerning the Selection Process. The Authority shall treat all information, submitted as part of the Proposal, in confidence and shall require all those who have access to such material to treat the same in confidence. The Authority may not divulge any such information unless it is directed to do so by any statutory entity that has the power under law to require its disclosure or is to enforce or assert any right or privilege of the statutory entity and/or the Authority or as may be required by law or in connection with any legal process.

## **2.23 Clarifications**

- 2.23.1 To facilitate evaluation of Proposals, the Authority may, at its sole discretion, seek clarifications from any Applicant regarding its Proposal. Such clarification(s) shall be provided within the time specified by the Authority for this purpose. Any request for clarification(s) and all clarification(s) in response thereto shall be in writing.
- 2.23.2 If an Applicant does not provide clarifications sought under Clause 2.23.1 above within the specified time, its Proposal shall be liable to be rejected. In case the Proposal is not rejected, the Authority may proceed to evaluate the Proposal by construing the particulars requiring clarification to the best of its understanding, and the Applicant shall be barred from subsequently questioning such interpretation of the Authority.

## **E. APPOINTMENT OF CONSULTANT**

### **2.24 Negotiations**

- 2.24.1 The Selected Applicant may, if necessary, be invited for negotiations. The negotiations

shall generally not be for reducing the price of the Proposal, but will be for re-confirming the obligations of the Consultant under this RFP. Issues such as deployment of Key Personnel, understanding of the RFP, methodology and quality of the work plan shall be discussed during negotiations. A Key Personnel who did not score 70% (seventy per cent) marks as required under Clause 3.1.2 shall be replaced by the Applicant with a better candidate to the satisfaction of the Authority. In case the Selected Applicant fails to reconfirm its commitment, the Authority reserves the right to designate the next ranked Applicant as the Selected Applicant and invite it for negotiations.

- 2.24.2 The Authority will examine the CVs of all other Professional Personnel and those not found suitable shall be replaced by the Applicant to the satisfaction of the Authority.
- 2.24.3 The Authority will examine the credentials of all Sub-Consultants proposed for this Consultancy and those not found suitable shall be replaced by the Applicant to the satisfaction of the Authority.

## **2.25 Substitution of Key Personnel**

- 2.25.1 The Authority will not normally consider any request of the Selected Applicant for substitution of Key Personnel as the ranking of the Applicant is based on the evaluation of Key Personnel and any change therein may upset the ranking. Substitution will, however, be permitted if the Key Personnel is not available for reasons of any incapacity or due to health, subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority.
- 2.25.2 The Authority expects all the Key Personnel to be available during implementation of the Agreement. The Authority will not consider substitution of Key Personnel except for reasons of any incapacity or due to health. Such substitution shall ordinarily be limited to one Key Personnel subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority. As a condition to such substitution, a sum equal to 20% (twenty per cent) of the remuneration specified for the original Key Personnel shall be deducted from the payments due to the Consultant. In the case of a second substitution hereunder, such deduction shall be 50% (fifty per cent) of the remuneration specified for the original Key Personnel. Any further substitution may lead to disqualification of the Applicant or termination of the Agreement.
- 2.25.3 Substitution of the Team Leader will not normally be considered and may lead to disqualification of the Applicant or termination of the Agreement.

## **2.26 Indemnity**

The Consultant shall, subject to the provisions of the Agreement, indemnify the Authority

for an amount not exceeding 3 (three) times the value of the Agreement for any direct loss or damage that is caused due to any deficiency in services.

### **2.27 Award of Consultancy**

After selection, a Letter of Award (the “**LOA**”) shall be issued, in duplicate, by the Authority to the Selected Applicant and the Selected Applicant shall, within 7 (seven) days of the receipt of the LOA, sign and return the duplicate copy of the LOA in acknowledgement thereof. In the event the duplicate copy of the LOA duly signed by the Selected Applicant is not received by the stipulated date, the Authority may, unless it consents to extension of time for submission thereof, appropriate the Bid Security of such Applicant as mutually agreed genuine pre-estimated loss and damage suffered by the Authority on account of failure of the Selected Applicant to acknowledge the LOA, and the next highest ranking Applicant may be considered.

### **2.28 Execution of Agreement**

After acknowledgement of the LOA as aforesaid by the Selected Applicant, it shall execute the Agreement within the period prescribed in Clause 1.8. The Selected Applicant shall not be entitled to seek any deviation in the Agreement.

### **2.29 Commencement of Assignment**

The Consultant shall commence the Services at the Project site within 7 (seven) days of the date of the Agreement, or such other date as may be mutually agreed. If the Consultant fails to either sign the Agreement as specified in Clause 2.28 or commence the assignment as specified herein, the Authority may invite the second ranked Applicant for negotiations. In such an event, the Bid Security of the first ranked Applicant shall be forfeited and appropriated in accordance with the provisions of Clause 2.20.4.

### **2.30 Proprietary data**

Subject to the provisions of Clause 2.22, all documents and other information provided by the Authority or submitted by an Applicant to the Authority shall remain or become the property of the Authority. Applicants and the Consultant, as the case may be, are to treat all information as strictly confidential. The Authority will not return any Proposal or any information related thereto. All information collected, analysed, processed or in whatever manner provided by the Consultant to the Authority in relation to the Consultancy shall be the property of the Authority.

### 3. CRITERIA FOR EVALUATION

#### 3.1 Evaluation of Technical Proposals

- 3.1.1 In the first stage, the Technical Proposal will be evaluated on the basis of Applicant's experience, its understanding of TOR, proposed methodology and Work Plan, and the experience of Key Personnel. Only those Applicants whose Technical Proposals score 70 (seventy) marks<sup>9</sup> or more out of 100 (one hundred) shall qualify for further consideration, and shall be ranked from highest to the lowest on the basis of their technical score ( $S_T$ ).
- 3.1.2 Each Key Personnel must score a minimum of 70% (seventy per cent) marks except as provided herein. A Proposal shall be rejected if the Team Leader scores less than 70% (seventy per cent) marks or any two of the remaining Key Personnel score less than 70% (seventy per cent) marks. In case the Selected Applicant has one Key Personnel, other than the Team Leader, who scores less than 70% (seventy per cent) marks, he would have to be replaced during negotiations, with a better candidate who, in the opinion of the Authority, would score 70% (seventy per cent) or above.
- 3.1.3 The scoring criteria to be used for evaluation shall be as follows.

Item Code	Parameter	Maximum Marks	Criteria
1.	<b>Relevant Experience of the Applicant</b>	<b>25</b>	30% <sup>10</sup> (thirty per cent) of the maximum marks shall be awarded for the number of Eligible Assignments undertaken by the Applicant firm. The remaining 70% (seventy per cent) shall be awarded for: (i) the comparative size and quality of Eligible Assignments; (ii) other similar work in the infrastructure sectors; and (iii) overall turnover, experience and capacity of the firm.

<sup>9</sup> The Authority may, in its discretion, reduce the minimum eligible score of 70 (seventy) marks, but shall in no case reduce it below 60 (sixty). Similarly, in Clause 3.1.2, the score of 70% (seventy per cent) specified therein may be reduced, but in no case lower than 60% (sixty per cent).

<sup>10</sup> The Authority may, in its discretion, reduce 30% (thirty per cent) to 25% (twenty five per cent) and correspondingly increase 70% (seventy per cent) to 75% (seventy five per cent). Similar modifications may also be carried out, if necessary, for Key Personnel. All evaluation criteria must, however, be frozen prior to bidding.

<b>2.</b>	<b>Proposed Methodology and Work Plan</b>	<b>5</b>	Evaluation will be based on the quality of submissions.
<b>3.</b>	<b>Relevant Experience of the Key Personnel<sup>11</sup></b>	<b>70</b>	30% (thirty per cent) of the maximum marks for each Key Personnel shall be awarded for the number of Eligible Assignments the respective Key Personnel has worked on. The remaining 70% (seventy per cent) shall be awarded for: (i) the comparative size and quality of Eligible Assignments; and (ii) other similar work in infrastructure sectors.
3(a)	Senior System Engineer-cum-Team Leader	20	
3(b)	Transmission Expert	[12.5/15]	
3(c)	Sub-Station Expert	[12.5/15]	
3(d)	Surveyor	10	
3(e)	Financial Analyst	10	
[3(f)	Environmental and Social Impact Assessment Expert	5]	
	<b>Grand Total</b>	<b>100</b>	

While awarding marks for the number of Eligible Projects, the Applicant or Key Personnel, as the case may be, that has undertaken the highest number of Eligible Assignments shall be entitled to the maximum score for the respective category and all other competing Applicants or respective Key Personnel, as the case may be, shall be entitled to a proportionate score. No score will be awarded to an Applicant/ Key Personnel for fulfilling the eligibility criteria of a minimum number of Eligible Assignments and only projects exceeding the eligibility criteria shall qualify for scoring. For the avoidance of doubt and by way of illustration, if the minimum number of Eligible Projects for meeting the eligibility criteria is [3 (three)], then an equivalent number will be ignored

<sup>11</sup> The Key Personnel and their respective maximum marks may be suitably modified to address project-specific requirements.

for each Applicant/ Key Personnel and only the balance remaining will be considered for awarding scores relating to the number of Eligible Assignments on a proportionate basis. However, for assigning scores in respect of the size and quality of Eligible Assignments, all Eligible Assignments of the Applicant/ Key Personnel shall be considered.

### 3.1.4 Eligible Assignments

For the purposes of determining Conditions of Eligibility and for evaluating the Proposals under this RFP, advisory/ consultancy assignments in respect of preparation of feasibility report and/or detailed project report including engineering surveys [and environmental and social impact assessment], for the following projects shall be deemed as eligible assignments (the “**Eligible Assignments**”):

- (i) Transmission systems having an estimated capital cost (excluding land) of at least [Rs. 200 (two hundred) crore<sup>12</sup>] in case of a project in India, and [US \$ 100 (one hundred) million<sup>13</sup>] for projects elsewhere; or
- (ii) any project involving electricity generation and/or distribution and having an estimated capital cost (excluding land) of at least [Rs. 500 (five hundred) crore<sup>14</sup>] in case of a project in India, and [US \$ 250 (two hundred and fifty) million] for projects elsewhere.

Provided that the Applicant firm claiming credit for an Eligible Assignment shall have, prior to PDD, received professional fees of at least [Rs. 50 (fifty) lakh<sup>15</sup>] for such assignment, and where credit is being claimed by a Key Personnel, she/he should have completed the relevant assignment prior to PDD.

Provided further that if the Applicant firm is taking credit for an Eligible Assignment which was undertaken for a private sector entity, such assignment shall have been completed prior to PDD and the Applicant shall have received professional fees of at least [Rs. 1 (one) crore<sup>16</sup>].

## 3.2 Short-listing of Applicants

Of the Applicants ranked as aforesaid, not more than 5 (five) shall be pre-qualified and

<sup>12</sup> This amount should be at least 40% (forty per cent) of the indicative cost of the Project.

<sup>13</sup> The ratio of Rs. 2 crore to US\$ 1 million may be maintained in sub-clauses (i) and (ii) of Clause 3.1.4.

<sup>14</sup> This amount should be about equal to the indicative cost of the Project.

<sup>15</sup> This amount may be fixed at about 0.1% of the indicative cost of the Project.

<sup>16</sup> This amount may be fixed at about 0.2% of the indicative cost of the Project.

short-listed for financial evaluation in the second stage. However, if the number of such pre-qualified Applicants is less than 2 (two), the Authority may, in its sole discretion, pre-qualify the Applicant(s) whose technical score is less than 70 (seventy) points even if such Applicant(s) do(es) not qualify in terms of Clause 3.1.2; provided that in such an event, the total number of pre-qualified and short-listed Applicants shall not exceed 2 (two).

### 3.3 Evaluation of Financial Proposal

- 3.3.1 In the second stage, the financial evaluation will be carried out as per this Clause 3.3. Each Financial Proposal will be assigned a financial score ( $S_F$ ).
- 3.3.2 For financial evaluation, the total cost indicated in the Financial Proposal, excluding Additional Costs, will be considered. Additional Costs shall include items specified as such in Form-2 of Appendix-II.
- 3.3.3 The Authority will determine whether the Financial Proposals are complete, unqualified and unconditional. The cost indicated in the Financial Proposal shall be deemed as final and reflecting the total cost of services. Omissions, if any, in costing any item shall not entitle the firm to be compensated and the liability to fulfil its obligations as per the TOR within the total quoted price shall be that of the Consultant. The lowest Financial Proposal ( $F_M$ ) will be given a financial score ( $S_F$ ) of 100 (one hundred) points. The financial scores of other proposals will be computed as follows:

$$S_F = 100 \times F_M / F$$

(F = amount of Financial Proposal)

### 3.4 Combined and Final Evaluation

- 3.4.1 Proposals will finally be ranked according to their combined technical ( $S_T$ ) and financial ( $S_F$ ) scores as follows:

$$S = S_T \times T_w + S_F \times F_w$$

Where S is the combined score, and  $T_w$  and  $F_w$  are weights assigned to Technical Proposal and Financial Proposal that shall be 0.70 and 0.30 respectively<sup>17</sup>.

- 3.4.2 The Selected Applicant shall be the first ranked Applicant (having the highest combined score). The second ranked Applicant shall be kept in reserve and may be invited for negotiations in case the first ranked Applicant withdraws, or fails to comply with the requirements specified in Clause 2.24, 2.28 and 2.29, as the case may be.

<sup>17</sup> This proportion may be modified to 80:20 where the intellectual and design content is comparatively higher such as in the case of architectural design or master plan.

## 4. FRAUD AND CORRUPT PRACTICES

- 4.1 The Applicants and their respective officers, employees, agents and advisers shall observe the highest standard of ethics during the Selection Process. Notwithstanding anything to the contrary contained in this RFP, the Authority shall reject a Proposal without being liable in any manner whatsoever to the Applicant, if it determines that the Applicant has, directly or indirectly or through an agent, engaged in corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice (collectively the “**Prohibited Practices**”) in the Selection Process. In such an event, the Authority shall, without prejudice to its any other rights or remedies, forfeit and appropriate the Bid Security or Performance Security, as the case may be, as mutually agreed genuine pre-estimated compensation and damages payable to the Authority for, *inter alia*, time, cost and effort of the Authority, in regard to the RFP, including consideration and evaluation of such Applicant’s Proposal.
- 4.2 Without prejudice to the rights of the Authority under Clause 4.1 hereinabove and the rights and remedies which the Authority may have under the LOA or the Agreement, if an Applicant or Consultant, as the case may be, is found by the Authority to have directly or indirectly or through an agent, engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice during the Selection Process, or after the issue of the LOA or the execution of the Agreement, such Applicant or Consultant shall not be eligible to participate in any tender or RFP issued by the Authority during a period of 2 (two) years from the date such Applicant or Consultant, as the case may be, is found by the Authority to have directly or through an agent, engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice, as the case may be.
- 4.3 For the purposes of this Clause, the following terms shall have the meaning hereinafter respectively assigned to them:
- (a) “**corrupt practice**” means (i) the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence the action of any person connected with the Selection Process (for avoidance of doubt, offering of employment to or employing or engaging in any manner whatsoever, directly or indirectly, any official of the Authority who is or has been associated in any manner, directly or indirectly with the Selection Process or the LOA or has dealt with matters concerning the Agreement or arising therefrom, before or after the execution

thereof, at any time prior to the expiry of one year from the date such official resigns or retires from or otherwise ceases to be in the service of the Authority, shall be deemed to constitute influencing the actions of a person connected with the Selection Process); or (ii) save as provided herein, engaging in any manner whatsoever, whether during the Selection Process or after the issue of the LOA or after the execution of the Agreement, as the case may be, any person in respect of any matter relating to the Project or the LOA or the Agreement, who at any time has been or is a legal, financial or technical consultant/ adviser of the Authority in relation to any matter concerning the Project;

- (b) **“fraudulent practice”** means a misrepresentation or omission of facts or disclosure of incomplete facts, in order to influence the Selection Process;
- (c) **“coercive practice”** means impairing or harming or threatening to impair or harm, directly or indirectly, any persons or property to influence any person’s participation or action in the Selection Process;
- (d) **“undesirable practice”** means (i) establishing contact with any person connected with or employed or engaged by the Authority with the objective of canvassing, lobbying or in any manner influencing or attempting to influence the Selection Process; or (ii) having a Conflict of Interest; and
- (e) **“restrictive practice”** means forming a cartel or arriving at any understanding or arrangement among Applicants with the objective of restricting or manipulating a full and fair competition in the Selection Process.

## **5. PRE-PROPOSAL CONFERENCE**

- 5.1 Pre-Proposal Conference of the Applicants shall be convened at the designated date, time and place. Only those Applicants, who have purchased the RFP document or downloaded the same from the Official Website for the Authority, shall be allowed to participate in the Pre-Proposal Conference. A maximum of 2 (two) representatives of each Applicant shall be allowed to participate on production of an authority letter from the Applicant.
- 5.2 During the course of Pre-Proposal Conference, the Applicants will be free to seek clarifications and make suggestions for consideration of the Authority. The Authority shall endeavour to provide clarifications and such further information as it may, in its sole discretion, consider appropriate for facilitating a fair, transparent and competitive Selection Process.

## 6. MISCELLANEOUS

- 6.1 The Selection Process shall be governed by, and construed in accordance with, the laws of India and the Courts at \*\*\*\*\* shall have exclusive jurisdiction over all disputes arising under, pursuant to and/or in connection with the Selection Process.
- 6.2 The Authority, in its sole discretion and without incurring any obligation or liability, reserves the right, at any time, to:
- (a) Suspend and/or cancel the Selection Process and/or amend and/or supplement the Selection Process or modify the dates or other terms and conditions relating thereto;
  - (b) consult with any Applicant in order to receive clarification or further information;
  - (c) retain any information and/or evidence submitted to the Authority by, on behalf of and/or in relation to any Applicant; and/or
  - (d) independently verify, disqualify, reject and/or accept any and all submissions or other information and/or evidence submitted by or on behalf of any Applicant.
- 6.3 It shall be deemed that by submitting the Proposal, the Applicant agrees and releases the Authority, its employees, agents and advisers, irrevocably, unconditionally, fully and finally from any and all liability for claims, losses, damages, costs, expenses or liabilities in any way related to or arising from the exercise of any rights and/or performance of any obligations hereunder, pursuant hereto and/or in connection herewith and waives any and all rights and/or claims it may have in this respect, whether actual or contingent, whether present or future.
- 6.4 All documents and other information supplied by the Authority or submitted by an Applicant shall remain or become, as the case may be, the property of the Authority. The Authority will not return any submissions made hereunder. Applicants are required to treat all such documents and information as strictly confidential.
- 6.5 The Authority reserves the right to make inquiries with any of the clients listed by the Applicants in their previous experience record.

# Schedules



SCHEDULE-1  
(See Clause 1.1.3)

Consultancy for A Feasibility Report for  
Development of A Transmission System  
in The State of \*\*\*\*\*

Terms of Reference (TOR)<sup>18</sup>  
for Technical Consultant

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<sup>18</sup> The Terms of Reference (TOR) provided herein are indicative and meant for guidance of the Authority in formulating project-specific TOR. The TOR may, therefore, be modified suitably to address project-specific requirements.



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- 1. General**
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## Terms of Reference (TOR)

### 1. General

- 1.1 The Authority seeks the services of qualified firms for preparing a Feasibility Report for development of the Project Transmission System for the evacuation of electricity from [\*\*\*\*\* MW thermal/ hydro-based power plant at \*\*\*\*\*, and for the transmission of \*\*\*\*\* MW of electricity between \*\*\*\*\* and \*\*\*\*\*] as detailed out below on [DBFOT/DBFOO] basis.

[Add the description of the Project giving name of the scheme and the list of transmission system elements covered under the Project]

The Terms of Reference (the “**TOR**”) for this assignment are specified below.

- 1.2 The Consultant shall be guided in its assignment by the Model Transmission Service Agreement and the regulations, rules and the provisions of law.
- 1.3 In order to prepare the Feasibility Report, it is necessary that the required inputs are obtained by the Consultant as expeditiously as possible. This implies that, **to the extent possible, the selected Consultant would rely on existing data, studies and analyses.** To facilitate this, all the reports and analyses that may be relevant to this assignment shall be provided by the Authority to the Consultant. Such reports, information material and analyses include:

[To be listed by the Authority]

- 1.4 The Consultant shall examine and suggest possible improvements in respect of any of the above reports, information material and analyses [including Land Plan, General Electrical Lay-Out of the sub-stations, technical specifications of equipments and the civil and electrical engineering designs, etc.] that may be provided by the Authority.
- 1.5 The Consultant shall be responsible for preparing the Schedules of the Transmission Service Agreement and for bringing out any special feature or requirement of the Project Transmission System referred to in the Transmission Service Agreement or the regulations, rules and the provisions of law. The details and particulars to be specified in the Schedules shall be duly addressed and incorporated therein, in accordance with the regulations, rules and provisions of law.

- 1.6 The Consultant shall assist the Authority and its Financial Consultant and the Legal Adviser by furnishing clarifications as required for the financial appraisal and legal scrutiny of the Project Transmission System and Bid Documents.
- 1.7 The Consultant shall also participate in the pre-bid conference with the Bidders of the Project Transmission System and assist the Authority in clarifying the technical aspects arising from the Bid Documents including the Feasibility Report.

## 2. Objective

The objective of this consultancy is to undertake feasibility studies and prepare a Feasibility Report of the Project Transmission System for the purpose of firming up the Authority's requirements in respect of development and construction of the Project Transmission System and Project Facilities, consistently with the regulations, codes, standards, rules, statutory requirements, provisions of law and other such relevant references, and enabling the prospective bidders to assess the Authority's requirements in a clear and predictable manner with a view to ensuring:

- (i) Efficient, economical, integrated and co-ordinated transmission and supply of electricity, and in particular to enable inter-connections and co-ordination of facilities for inter-State, regional and inter-regional generation and transmission of electricity;
- (ii) grid stability, reliability and security of supply;
- (iii) enhanced safety and level of service for consumers of electricity;
- (iv) superior operation and maintenance enabling enhanced operational efficiency of the Project Transmission System;
- (v) minimal adverse impact on the local population and consumers of electricity due to construction of the transmission system;
- (vi) minimal adverse impact on environment;
- (vii) minimal additional acquisition of land; and
- (viii) improved financial viability of the transmission grid consistent with the need to minimise frequent outages of electricity and to eliminate transmission constraints in a cost effective manner.

### 3. Scope of Services

3.1 The scope of services shall comprise collection of all the necessary data and information relating to techno-economic feasibility and financial viability of the Project Transmission System and to carry out required physical surveys, assessments, analyses, evaluations and studies, and to prepare necessary [preliminary designs, preliminary specification detailing, Bill of Quantities,] cost estimation and any other necessary activity for preparation of the Feasibility Report for the Project Transmission System complete in all respects to facilitate award of the Project Transmission System on [DBFOT/ DBFOO] basis through a competitive bidding process.

3.2 These services are briefly explained hereunder:

Task 1: Collection, compilation and analyses of available information including on technical, physical, economic, commercial and financial features of the Project Transmission System; and suggesting possible improvements in respect of the reports, information material and analyses provided by the Authority;

Task 2: Study of requirements of the Project Transmission System based on which the Authority has decided to take up development of the Project Transmission System and to evolve a timeline for activities from the Request for Qualification (the “**RFQ**”) stage upto commissioning and commercial operation date of the Project Transmission System so that commissioning of each of the elements covered under the Project may be achieved in the required time frame;

Task 3: Site survey of sub-station locations for new sub-stations and/or existing sub-stations where the line covered under the Project Transmission System are to be terminated, including suggestions on the General Electrical Lay-Out (the “**GELO**”) of the sub-stations and land plan at new sub-stations and/or existing sub-stations for the works proposed under the Project Transmission System. For the new sub-stations the Consultant will also suggest possible sites in the event that the Authority has not already acquired the land for these sites;

Task 4: Route survey of the transmission lines covering at least [2 (two)/ 3 (three)] alternate alignments for each transmission line. Recommend an optimal route for each transmission line, based on its route survey, in sufficient detail to enable the Bidders/ Transmission Service Provider to undertake the final and detailed

route survey, tower spotting, tower profiles, check survey etc. These shall include the following:

- (a) A full set of topographical maps of a scale not larger than 1:50,000, using satellite imageries of the National Remote Sensing Agency (the “**NRSA**”) (PAN & LISS-III merged product of minimum resolution corresponding to 1:25,000 scale) and Survey of India topographical maps (scale 1:50,000). In case the required Survey of India maps are available in digitised form and/or of higher resolution, the same shall be procured and used by the Consultant. Alternatively, the Survey of India maps should be digitized using appropriate software. The technical feasibility of the proposed transmission system route shall be verified through a physical visit (e.g. driving and walking) of the entire length. The definition of the system route must be accurate enough to allow estimation of construction costs compatible with the needs of financial analysis. The three co-ordinates (latitude, longitude, altitude) of all major features (sub-stations, main angles, river and mountain crossings, and similar) shall be determined with latest details/ features upto [8 (eight)] km on both sides of selected routes’ alignment. The Consultant shall procure all the maps for the transmission system route;
- (b) the review of the existing soil, geo-technical, material, hydrology and drainage survey reports, if any; conduct or cause to be conducted additional soil tests, geological investigations, and topographical, material, hydrological and drainage surveys; and evaluate the results of such tests and studies for determination of corresponding foundation types; and
- (c) the determination of the optimal Right-of-Way (the “**RoW**”) requirements from technical, legal, economic, environmental and social perspectives;

Task 5: Preliminary engineering including specification of works and equipments, tentative single line diagrams for the [sub-stations/ possible improvements on the diagrams for the sub-stations provided by the Authority, if any, and towers and strung line diagrams showing clearances], corresponding foundations and indicative cost estimates based on approximate BOQs and rates of materials and works. BOQs and cost estimates should be determined for each of [2 (two)/ 3 (three)] options suggested by the Consultants. The voltage and transmission technology options should include, but be not limited to: [400 kV Alternating

Current (the “AC”) with Twin or Quad Moose conductor/ coordinator; 765 kV AC with Quad Bersimis conductor. The Consultant should also consider other options, if warranted];

Task 6: Assessment of possible technical and commercial risks together with suggested mitigation options;

Task 7: Listing of all the relevant regulations, codes, standards, rules, statutory requirements, provisions of law and other such relevant references that would provide a ready reference to the prospective bidders for obtaining necessary clearances and undertaking construction, commissioning, operation and maintenance of the Project; and

[Task 8: Environmental and social impact assessment in compliance with the applicable laws, policies, regulations and guidelines of the central and state governments and suggest a strategy to address the underlying issues, including measures to mitigate the negative impacts so as to facilitate the development of the Project Transmission System. This would also include incorporating their costs in the overall costs of the Project Transmission System.]

- 3.3 The Feasibility Report shall contain all the necessary information and inputs for this purpose including technical, physical, economic, commercial and financial features of the Project Transmission System. The Feasibility Report shall include evaluations and assessments of the technical feasibility and economic justification and financial viability of the Project Transmission System, including identification of the possible technical and commercial risks together with suggested mitigation options.
- 3.4 The Feasibility Report and the Report on the Alternative Route Alignments shall contain all aspects of the Project Transmission System technical design, including a route survey of each transmission line covering at least [2 (two)/ 3 (three)] alternate alignments together with the site survey that would take into account the Land Plan and GELO, if any, provided by the Authority for location of sub-stations. The Feasibility Report would also recommend an optimal route for each transmission line, based on its route survey, in sufficient detail to enable the Bidders/ Transmission Service Provider to undertake the final and detailed route survey, tower spotting, tower profiles, check survey, etc.
- 3.5 The Feasibility Report and the Report on the Alternative Route Alignments shall also include tentative single line diagrams for and/or improvements, if any, in respect of the drawings provided by the Authority for the sub-stations[, towers and strung line diagrams showing clearances] and indicative cost estimates based on approximate Bill of Quantities (the “BOQs”) and rates of materials and works.

- 3.6 [The Feasibility Report should also include an environmental and social impact assessment (the “ESIA”) in compliance with the applicable laws, policies, regulations and guidelines of the central and state governments and suggest a strategy to minimise the negative impacts so as to facilitate the development of the Project.]
- 3.7 The Consultant shall also be responsible for preparing the technical Schedules \*\*\*\*\*, \*\*\*\*\*, \*\*\*\*\* and \*\*\*\*\* of the Transmission Service Agreement of the Project Transmission System and for bringing out any special feature or requirement of the Project Transmission System referred to in the Transmission Service Agreement or the technical standards applicable for the Project Transmission System under the Electricity Act 2003 and the Indian Electricity Rules, 1956, as amended, or the Regulations on Grid Connectivity, Metering, Construction of Electrical Plants and Electric Lines, and Grid Standards and Safety as notified by the Central Electricity Authority. The details and particulars to be specified in the Schedules shall be in accordance with the provisions of the relevant codes or regulations. Such provisions may be included in the Schedules by reference to the relevant provisions of the said codes/ regulations and need not be reproduced.
- 3.8 **System operation requirements.** The Consultant shall assess the technical standards applicable for the Project Transmission System under the Electricity Act 2003 and the Indian Electricity Rules, 1956, as amended, and Regulations on Grid Connectivity, Metering, Construction of Electrical Plants and Electric Lines, and Grid Standards and Safety as notified by the Central Electricity Authority. It is assumed that a project of this scope would normally follow international standards, and the National Grid Code and the State Grid Code. ISO recommendations shall govern the quality of project components, including design, engineering, and equipment fabrication, testing and commissioning. It will be necessary to take into account the need for compatibility with the National and State Grids.
- 3.9 The Consultant shall address the following aspects of the Project Transmission System:
- (a) Sub-station operational control;
  - (b) preventive and restorative maintenance of the sub-stations and transmission lines;
  - (c) requirement of spares;
  - (d) emergency Restoration System required for the Project Transmission System;
  - (e) ancillary services requirements; and
  - (f) methodology for maximising the availability of electricity/ capacity of transmission system.

- 3.10 **Operation and Maintenance Plan.** The Consultant shall address the Operation and Maintenance (the “O&M”) plan for the Project transmission system. The Project transmission system components, as required, shall be equipped with all the required facilities such as protection, communication, measurement, telemetry and interface equipment, probes and sensors required for connecting to other parts of the transmission grid as well as supervisory control and data acquisition (the “SCADA”) systems at the State, Regional and National levels to allow for the remote monitoring of equipment, to perform reliable and timely maintenance, for instance on protection relays, bay controllers, communication channels, etc. and to ensure safe, secure, stable, reliable and coordinated operation and maintenance of all the components of transmission line systems and sub-stations covered under the Project Transmission System. The Consultant is required to suggest comprehensive periodic maintenance schedules for the transmission system, including a list of the diagnostic tools and testing equipments, etc. with a view to enabling the achievement of the targeted transmission losses and availability factor established by the concerned Regulator. The Consultant shall determine the cost of O&M on a yearly basis until [2030], including the O&M personnel plan, contractor services and spare parts inventory, taking into account the difficult terrain and weather conditions.
- 3.11 **Design, Technical Specifications.** The Consultant is responsible for preparing the preliminary design of the Project Transmission System sufficient for awarding the Project on [DBFOT/ DBFOO] basis. It shall include tentative layout of sub-stations and the suggested route alignment of the transmission line(s) on digitised topographical map with latest details/features upto [8 (eight)] km on both sides of the proposed route alignment, with digital terrain modeling wherever required using contour data. The detailed design is expected to be done by the selected Transmission Service Provider.
- 3.12 [Based on the extant specifications and standards, the] Consultant shall prepare the main characteristic of the new equipment, including a description of the basic components of the Project Transmission System – general layout, cross-section drawings, single line diagrams etc.
- 3.13 The Consultant will be required to prepare preliminary civil (buildings, foundations, drainage, etc.) and electrical layout plans of sub-stations in sufficient detail to be the basis for the cost estimate(s). The Consultant will also provide the basis for adopting rates of equipment and material that are assumed for the purposes of cost estimations.
- 3.14 [Based on the extant specifications and standards, the] Consultant shall recommend the transmission line(s) tower shapes and span and prepare preliminary drawings for the proposed transmission line(s) tower types based on the wind zone as per the relevant international standard; as well as the corresponding foundations i.e. standard foundations, pile foundations, flat foundations, rock anchor foundations, etc. based on soil data.

- 3.15 The Consultant shall provide basic design/ specification data for the transmission system's elements, such as insulators, conductors, towers, earthing system and the Optical Fiber Composite Overhead Ground Wire (the "OPGW") system. The designs shall cover road crossings, railway crossings, river crossings, power line crossings, communications crossings etc.
- 3.16 The Consultant shall provide a preliminary estimate of the BOQ of equipment and services as a basis for the cost estimate for each suggested option, including the optimal option.
- 3.17 **Cost Estimates.** The Consultant shall prepare the cost estimates for the Project Transmission System, including identification of the costs of the various system elements (e.g., [transformers, switchgears, capacitors, filters, lightning arrestors, reactors, steel, wires and insulators,] the control and communication system, engineering and project management, supervision and contingencies). The Project Transmission System costs should be disaggregated by functional elements (transmission lines, substations, etc.) and the total costs should comprise: base costs, physical contingencies, price contingencies, financing costs (e.g, interest during construction) etc. [To the construction cost so arrived at, the Consultant may add 25% (twenty five per cent) thereof as a lumpsum provision for physical and price contingencies, interest during construction and other financing costs, pre-construction expenses etc.]
- 3.18 **Project Implementation.** The Consultant shall propose an overall implementation plan and schedule for the Project Transmission System that would be based on the [DBFOT/DBFOO]/PPP approach. It should take into account seasonal weather conditions, system constraints and other relevant factors.
- 3.19 The Consultant will: (a) assess the available suppliers and delivery time; (b) assess options for transporting equipment (including construction equipment) and material to the site(s) and estimate the transport costs; and prepare a standard risk matrix for the execution of the transmission line(s) and sub-station(s). The award of Project Transmission System would be based on standard bidding documents.
- 3.20 **Financial Analysis.** The financial analysis would be carried out by the Consultant assuming private participation [(and concomitant debt equity structures etc)], based on the inputs such as project costs, phasing of expenditures etc. The financial analysis would focus on (a) project level financial analysis, i.e., assessing the financial internal rate of return on the investment based on the benefits; and importantly (b) the pricing of services. The relevant tariff determination orders of the concerned Regulator shall be used by the Consultant. The Consultant shall also provide assistance during the Bid Process for selection of the Transmission Service Provider.

- 3.21 The Consultant would need to present the recommended system pricing on a Rupee/kWh basis – annually and levelised over the contract period [2010-2035] — reflecting reasonable assumptions about, *inter alia*, inflation, and discount rates. All costs should be presented on a consistent basis and in accordance with the government’s tariff-based bidding guidelines. This information would be used for further financial and economic analysis. The Consultant shall, also provide a preliminary assessment of the financial viability of the Project Transmission System with a view to estimating the likely Internal Rate of Return (the “**IRR**”) over a concession period of 15 years, 20 years, 25 years and 30 years respectively.
- 3.22 The Consultant shall:
- (a) Calculate the IRR for the Project. It will undertake sensitivity analysis by identifying the most critical factors and determine their impact on the IRR, including varying project costs and benefits, implementation period, power demand, and combinations of these factors[. It will also calculate switching values]; and
  - (b) conduct a risk analysis [using the Monte Carlo method] by considering the possible values for key variables based on records, and their occurrence probability.
- 3.23 While undertaking the economic analysis and projecting the IRR, the following assumptions shall be adopted:
- (a) Capital cost shall be adopted as per estimates of construction cost to which 25% (twenty five per cent) shall be added for physical and price contingencies, interest during construction, other financing costs etc;
  - (b) debt equity ratio may be assumed as 70:30;
  - (c) O&M costs may be assumed as per norms of the Authority; and
  - (d) the return may be calculated assuming that the transmission charge will be equal to the amount payable in respect of the last transmission project completed in the region and as set out in the relevant tariff determination orders of the concerned Regulator.
- 3.24 If the IRR of the Project, based on the aforesaid calculations is less than 12% (twelve per cent), an effort should be made to reduce the capital costs in consultation with the Authority. This may be done either by omitting/ modifying some of the proposed structures or by phasing them after a period of 7 (seven) years or more, such that the IRR reaches a minimum of 12% (twelve per cent).

*[Guidance Note: The requirements of ESIA and Rehabilitation and Resettlement may vary from case to case. Where any of the suggested components of paragraphs 3.25, 3.26 and 3.27 are not required for a specific project, the same may be suitably modified or omitted, as necessary, by the Authority. Based on the modifications to paragraphs 3.25, 3.26 and 3.27, corresponding modifications may be carried out to paragraphs 1.2, 2.1.4, 2.2.2D, 3.1.3 and 3.1.4 of the RFP, paragraphs 3.2, 3.6, 4C, 5.2, 5.3, 7.1 and 7.2 of Schedule-1, Annex-6, including Note-4 of Annex-6, of Schedule-2, Form-6 of Appendix-I and Form-2 of Appendix-II. Prior to issue of RFP, this Guidance Note should be deleted.]*

- [3.25] **Environmental and social impact assessment.** The Consultant shall, as part of the ESIA of the Project Transmission System, undertake the following:
- (a) Prepare an ESIA for the selected transmission system corridor(s) and associated facilities in accordance with the applicable laws, policies, regulations and guidelines for ESIA specified by the central and state governments. This may include an evaluation of impacts from direct [and indirect] developments resulting from the proposed project and linked facilities. The applicable laws, policies, regulations and guidelines include the Land Acquisition Act, 1894, the Forest (Conservation) Act, 1980, the Environment (Protection) Act, 1986, the Forest (Conservation) Rules, 2003, the Guidelines and Clarifications of 9 June 2004 thereto issued by the Ministry of Environment and Forests, Government of India, the Indian Electricity Rules, 1956, and the Hazardous Waste (Management and Handling) Rules, 2003. The National Rehabilitation and Resettlement Policy of 30 October 2007 of the Government of India would also apply read with the \*\*\*\*\*, \*\*\*\*\* and \*\*\*\*\* notified by the Government of \*\*\*\*\* on \*\*\*\*\*.
  - (b) Review alternative alignments for specific sections of the transmission route to avoid or mitigate impacts to protected areas, forest areas, wildlife sanctuaries, National Parks, biological resources, settlements, cultural heritage, etc. avoiding also earth slip zones, marshy and low lying areas, river beds, civil and military airfields, existing communications, electricity and railway lines, national and state highways, and major rivers to the extent possible.
  - (c) Assess specifics for placement of transmission lines, substations, and related fixed facilities, including the requirements of any new access roads and bridges or improvement of existing access roads and bridges. Ensure that components such as transmission lines and access roads have ESIA regardless of the source of finance.
  - (d) Assess environmental impacts of construction activities, including locations of

construction camps. Provisions should be made for health and safety standards to be used for the Project Transmission System.

- (e) If it is not feasible to avoid routing of the proposed transmission components outside of protected areas, forest areas, wildlife sanctuaries, National Parks, etc. or areas characterized by critical natural habitats, estimate and determine the diversion of forest land and compensatory afforestation area and any other regulatory procedures and protection measures needed to obtain environmental and forestry clearance from the relevant national and state government agencies.
- (f) Carry out, in cooperation with local authorities, a survey of archaeological, historical and sacred sites, including graveyards and burials, along the proposed transmission line corridor(s) and at sites proposed for supporting facilities.
- (g) Assure the adequacy of the ESIA report; and based on the ESIA, prepare an environmental and social management plan (the “**ESMP**”) that includes recommendations on project specific mitigation measures of identified impacts, management and monitoring measures to address them, schedules for their implementation and their cost estimates.
- (h) Assess the environmental benefits of the proposed activities and any capacity-strengthening measures that may be needed in advance to assure effective implementation of environmental management and monitoring plans.]

[3.26 **Involuntary resettlement and land acquisition.** The Consultant shall prepare a plan for involuntary resettlement, if any, associated with land acquisition. This plan shall include the following:

- (a) Review of alternative locations of sub-station(s) and area requirement(s) which do not need any involuntary resettlement and recommend optimal locations and area requirements. Prepare in accordance with laws, policies, regulations and guidelines of the central and state governments, a draft Resettlement and Land Acquisition Plan, if required.
- (b) Prepare area specific social assessments to support development of a locally relevant approach to resettlement, if any, which provides benefits to people in the Project’s area of influence, which include socio-economic profiles of the project-affected communities in the project areas in terms of household size, demographic trends, social differentiation, income source and level, occupations, socioeconomic conditions, social service infrastructure, and social institutions and organization, in accordance with the central and state governments’ laws, policies, regulations and guidelines.

- (c) Identify and enumerate all people likely to be affected; and make an inventory of lost assets (households, shops, community assets, public buildings, and other lands, and/or access to current income-generating activities, including impacts caused by permanent or temporary acquisition) of affected people; and conduct a baseline socioeconomic survey of the affected population. Determine the scope and magnitude of losses, if any, associated with such an inventory of lost assets.
- (d) In consultation with the local stakeholders, Government and the Authority, estimate the amount of compensation for land acquisition in accordance with the guidelines and policies of the central and state governments.
- (e) Provide recommendations and action plan, if any, for the Concessionaire to undertake, at the detailed design stage when transmission system routes and impact corridors, tower locations, and related footprints are established.
- (f) Prepare the aforesaid Plans with the participation of the state government and the Authority consistently with the consultative processes with affected persons and community-based organizations initiated by the state government and/or the Authority. Ensure that communities and displaced persons understand the project, its impacts, and the responsibilities of the parties.
- (g) Analyse and confirm the following aspects that will apply to land acquisition and resettlement in the project area: (i) laws and regulations; (ii) budgetary processes for involuntary resettlement and land acquisition; (iii) schedules for these activities are coordinated with the construction schedule; and (iv) any administrative arrangements and requirements.]

[3.27] **Stakeholder Consultations.** Stakeholder consultations by the State Government and the Authority are an integral part of the ESIA process. At a minimum, the Consultant will review the stakeholder consultations held by them and recommend administrative arrangements and requirements to ensure that the affected persons and communities understand the project, its impact and the responsibilities of the parties, and are allowed to participate in the formulation of development interventions by the Transmission Service Provider to ensure that development plans adequately deal with their needs, priorities, and preferences. The Consultant is required to:

- (a) Identify relevant stakeholders through a stakeholder analysis;
- (b) assist the Authority and the State Government in organising consultations during the pendency of the consultancy with the stakeholders that shall be preceded by information dissemination, including in local languages;
- (c) document the discussions from consultative meetings and interviews; and

- (d) incorporate the relevant inputs from the stakeholder consultations in the development of the ESIA.]

#### **4. Deliverables**

The Consultant shall deliver the following deliverables (the “**Deliverables**”) during the course of this Consultancy. The Deliverables shall be so drafted that they could be given to the prospective bidders for guidance in preparation of their bids. Twenty hard copies and two soft copies in CDs of all the final reports, drawings, etc. shall be submitted to the Authority. For draft reports only five hard copies and one soft copy in CD shall be submitted to the Authority. The size of drawings shall be A-3 (maximum). [The Image Processing Software with one license that would be used for extracting vector maps for GIS and three dimensional perspectives for terrain characteristics for the purpose of finalizing the route alignment shall also be submitted to the Authority.]

##### **A. Inception Report**

On commencement of the Consultancy, the Consultant shall submit an Inception Report. The Inception Report shall include the Consultant’s submissions towards understanding of the RFP and the Work Plan. The Inception Report shall also include the Consultant’s proposal regarding the methodology for identification of the alternative route alignments and locations of new sub-stations for each of the transmission lines of the Project (refer paragraphs 3.2 and 3.4).

Within a period of four weeks of submission of the Inception Report, the Consultant shall submit a Supplementary Inception Report where it must clearly spell out the broad strategy for structuring the project in a manner that would ensure its economic viability and justification. In making this assessment, the Consultant shall follow the assumptions specified in paragraphs 3.20 to 3.24 above. In particular, the Consultant must make realistic assumptions about costs and revenues. The project components should be so formulated as to make the project viable.

In determining its aforesaid strategy, the Consultant shall also seek the advice of the Authority. In the event that a viable project does not seem feasible, the Consultant shall not proceed with the Consultancy and the same shall stand terminated. The Consultant shall be entitled to a payment of 10% (ten per cent) of the Agreement Value upon such termination.

##### **B. Report on Alternative Route Alignments**

The Consultant shall submit a Report on the alternative route alignments, including investigations and analyses of soil tests, geological investigations, topographical surveys, etc (refer Tasks 3 and 4 in paragraph 3.2). The Report shall include preliminary cost

estimates for each transmission line of the Project (refer paragraph 3.17).

The Consultant shall recommend the optimal/ preferred route alignment for each transmission line and location of sub-station(s) of the Project (refer Tasks 3 and 4 in paragraph 3.2 and paragraphs 3.4 and 3.5).

**[C. *Reports on Environmental and Social Impact Assessment***

The Consultant shall submit reports on social impact assessment (Refer paragraph 3.25) and environment impact assessment (Refer paragraph 3.25), including the plan for involuntary resettlement, if any, associated with land acquisition (refer paragraphs 3.26 and 3.27).]

**D. *Feasibility Report***

The Feasibility Report of the Project shall include, *inter alia*, all details collected, analysed, estimated, and compiled in respect of the scope of work specified in paragraph 3 above, including the following:

(1) *Investigation Reports*

Reports on the site survey of sub-station(s) location(s) (refer Task 3 of paragraph 3.2 and paragraph 3.5), route survey of each transmission line, soil tests, geological investigations and topographical surveys (refer Task 4 of paragraph 3.2 and paragraph 3.4).

(2) *Technical design*

Drawings, preliminary designs, and preliminary engineering (refer Tasks 3, 4 and 5 of paragraph 3.2 and paragraphs 3.11 through [3.16]),

(3) *Technical and commercial risks*

Report on technical and commercial risks together with suggested mitigation options (refer Task 6 of paragraph 3.2 and paragraph 3.3).

(4) *Relevant statutes*

Report on all the relevant regulations, codes, standards, rules, statutory requirements, provisions of law and other such relevant references (refer Task 7 of paragraph 3.2).

(5) *Preliminary costing*

Report on preliminary costing for each suggested option, including the optimal

option, for each transmission line of the Project, including indicative BOQs (refer paragraphs [3.16 and 3.17] and paragraph 3.5)

(6) *System operation requirements and O&M Plan*

Report on the system operation requirements and O&M plan (refer paragraphs 3.8 through 3.10).

(7) *Implementation plan and schedule (refer paragraphs [3.18], [3.19] and Task 2 of paragraph 3.2):*

(a) Construction period.

(b) Likely delays, if any, on account of land acquisition and/or other factors.

**E. *Schedules of the Transmission Service Agreement***

The Consultant shall separately provide Schedules \*\*\*\*\*, \*\*\*\*\*, and \*\*\*\*\* of the Transmission Service Agreement for the Project Transmission System with all supporting documentation relating to these Schedules.

**F. *Financial Analysis***

The Consultant shall provide a preliminary financial assessment of the Project (refer paragraphs [3.20] through [3.24] and Task 1 of paragraph 3.2).

**G. *Assistance during Bid Process***

The Consultant shall provide the required assistance to the Authority and its financial consultant and the legal adviser in preparation of bid documents. The Consultant shall also participate in Pre-bid Conferences and assist in preparation of answers to the Bidders' queries on technical aspects of the Project Transmission System and Bid Documents.

**[5. Specific requirements for the Project Transmission System**

The Consultant shall provide the following:

Add the description of the Specific Requirements of the Project Transmission System]

**6. Time and Payment Schedule**

6.1 The total duration for preparation of the Feasibility Report and Schedules to the Concession Agreement shall be 18 weeks, excluding the time taken by the Authority in providing the requisite documents or in conveying its comments on the Draft Feasibility

Report. The Consultant shall deploy its Key Personnel as per the Deployment of Personnel proposed. Intermittent services will be required beyond the 18<sup>th</sup> week and until the end of 52 weeks or two months after the signing of the Transmission Service Agreement, whichever is earlier. The man-days required for the intermittent services shall be provided by the Consultant as per the Agreement.

- 6.2 Time schedule for important Deliverables (the “**Key Dates**”) of the Consultancy and the payment schedule linked to the specified Deliverables is given below:

<b>Key Date No.</b>	<b>Description of Deliverables</b>	<b>Week No<sup>£</sup>.</b>	<b>Payment</b>
KD1	Inception Report	2	—
KD2	Report on Alternative Route Alignments and the preferred alignment, including preliminary cost estimates	11	30%
[KD3]	[Report on Environmental and Social Impact Assessment;] [Report on involuntary resettlement and land acquisition]	[14]	[10%]
KD4	Draft Feasibility Report and Schedules to the Transmission Service Agreement	16	[25/35]%
KD5	Final Feasibility Report	18 <sup>§</sup>	25%
KD6	Completion of Services including assistance during Bid Process	52	10%
Total			100

<sup>£</sup> The time schedule may be suitably extended for transmission line systems exceeding [100] km.

<sup>§</sup> Excludes the time taken by the Authority in providing its comments on Draft Reports. The Consultant shall get one week for submission of the Final Feasibility Report after comments of the Authority are provided.

- [6.3 The TOR for the Consultant envisages assistance in the process of public hearings, etc. in respect of the Environmental and Social Impact Assessment (ESIA) of the Project Transmission System specified in paragraphs 3.25 through 3.27. In the event that the process cannot be completed within the period specified herein for completion of Final Feasibility Report, the ESIA Reports may be completed and submitted to the Authority within an extended period of 6 (six) weeks after submission of the Feasibility Report. A sum equal to 5% (five per cent) of the total payment due shall be withheld and paid

to the Consultant upon submission of the ESIA Report and environment management plan.]

- 6.4 Mobilization Advance upto 10% (ten per cent) of the total Agreement Value shall be paid on request against Bank Guarantee of a Scheduled Bank. This shall attract 10% (ten per cent) simple interest per annum and shall be adjusted against the first four bills in four equal installments and the accrued interest shall be recovered from the fifth bill.
- 6.5 10% (ten per cent) of the Agreement Value has been earmarked as Final Payment to be made to the Consultant upon execution of the Transmission Service Agreement. In the event the Transmission Service Agreement does not get executed within one year of the Effective Date, the Final Payment shall not become due to the Consultant, save and except the costs incurred for meeting its reimbursable expenses during the period after expiry of 18 weeks from the Effective Date, including travel costs and personnel costs, at the agreed rates.

## 7. Meetings

The Authority may review with the Consultant, any or all of the documents and advice forming part of the Consultancy, in meetings and conferences which will be held in [New Delhi] at the Authority's office. Further, the Consultant may be required to attend meetings and conferences with pre-qualified Bidders or the Selected Bidder. The expenses towards attending such meetings during the period of Consultancy, including travel costs and per diem, shall be reimbursed in accordance with the Financial Proposal contained in Form-2 of Appendix-II of the RFP. The days required to be spent in [New Delhi] shall be computed at the rate of 8 (eight) man hours a day in case of an outstation Consultant. For a Consultant having its office within the [National Capital Region], the time spent during meetings shall be calculated as per actuals. No travel time shall be payable except in case of an expatriate Consultant who will be entitled to claim actual travel time, subject to a maximum of 10 (ten) man hours for a return journey.

## 8. Consultancy Team

- 8.1 The Consultant shall form a multi-disciplinary team (the "**Consultancy Team**") for undertaking this assignment. The following Key Personnel whose experience and responsibilities are briefly described herein would be considered for evaluation of the Technical Proposal. Other expertise such as that required for financial analysis, sub-station design, social impact assessment etc. for the Project Transmission System shall be included in the Team either through the Key Personnel specified below or through other Professional Personnel, as necessary.

**(a) Senior System Engineer-cum-Team Leader**

Educational Qualifications	Graduate in Electrical / Electronics / Mechanical Engineering
Essential Experience	10 years in planning, project preparation and design of transmission system projects.
Job responsibilities	He will lead, coordinate and supervise the multi-disciplinary team. It will be his responsibility to guide the team in arriving at solutions within the constraints specified in the TOR.
Minimum time required at site	[20 days]

**(b) Transmission Expert**

Educational Qualifications	Graduate in Electrical / Electronics / Mechanical Engineering
Essential Experience	7 years in analysis of condition of existing transmission systems and design of major transmission line systems
Job responsibilities	He will be responsible for suggesting options for alternative route alignments and their finalisation under the constraints described in the TOR.
Minimum time required at site	[20 days]

**(c) Sub-Station Expert**

Educational Qualifications	Graduate in Electrical / Electronics Engineering or Planning
Essential Experience	7 years in analysis if condition of sub-stations on transmission system projects.
Job responsibilities	He will be responsible for selection and finalisation of alternative sites for the sub-station(s).
Minimum time required at site	[20 days]

**(d) Surveyor**

Educational Qualifications	Graduate in Civil Engineering or Diploma in Civil Engineering or Diploma in Surveying
Essential Experience	7 years experience in surveying on transmission system projects
Job responsibilities	He will be responsible for carrying out the survey of the Project Transmission System.
Minimum time required at site	[30 days]

**(e) Financial Analyst**

Educational Qualifications	Post Graduate in Commerce/ Chartered Accountant or equivalent.
Essential Experience	7 years in financial analysis and modeling of infrastructure projects.
Job responsibilities	He will be responsible for financial analysis and modeling of the Project Transmission System.
Minimum time required at site	[3 days]

**[(f) Environmental and Social Impact Assessment Expert**

Educational Qualifications	Masters/Bachelor in Environmental Science or equivalent
Essential Experience	7 years in environmental studies
Job responsibilities	He will conduct the environmental and social impact assessment of the Project Transmission System
Minimum time required at site	7 days]

8.2 The Consultant shall establish a Project Office at a suitable location in [New Delhi] for efficient and coordinated performance of its Services. All the Key Personnel shall be deployed at this office during the first 16 weeks as specified in the Manning Schedule

forming part of the Agreement. The authorised officials of the Authority may visit the Consultant's Project Office any time during office hours for inspection and interaction with the Consultant's Personnel. It is not expected of the Consultant to carry out the operations from the Head/Home Office. However, he may do so for the remaining consultancy services beyond the first 16 weeks.

- 8.3 The Consultant shall mobilise and demobilise its Professional Personnel and Support Personnel with the concurrence of the Authority and shall maintain the time sheet/ attendance sheet of the working of all Personnel in the Project Office. These time sheets/ attendance sheets shall be made available to the Authority as and when asked for and a copy of such record shall be submitted to the Authority at the end of each calendar month.

## **9. Reporting**

- 9.1 The Consultant will work closely with the Authority. The Authority has established a Working Group (the "WG") to enable conduct of this assignment. A designated Project Director of the Authority will be responsible for the overall coordination and project development. He will play a coordinating role in dissemination of the Consultant's outputs, facilitating discussions, and ensuring required reactions and responses to the Consultant.
- 9.2 The Consultant may prepare Issue Papers highlighting issues that could become critical for the timely completion of the Project and that require attention from the Authority.
- 9.3 The Consultant will make a presentation on the Inception Report for discussion with the WG at a meeting. This will be a working document. The Consultant is required to prepare and submit a monthly report that includes and describes, *inter alia*, general progress to date; data and reports obtained and reviewed, conclusions to date, if any; concerns about availability of, or access to, data, analyses, reports; questions regarding the TOR or any other matters regarding work scope and related issues; and so on. The Consultants' work on the TOR tasks should continue while the report is under consideration and is being discussed.
- 9.4 Regular communication with the WG and the Project Director is required in addition to all key communications. This may take the form of telephone/ teleconferencing, emails, faxes, and occasional meetings.
- 9.5 The Deliverables will be submitted as per schedule provided in this RFP.

## 10. Data and Software to be made available by the Authority

The Authority shall provide to the Consultant the following:

- (a) A copy of the Model Transmission Service Agreement.
- (b) A copy of the Model RFQ and RFP for bidders.

Available data as may be required by the Consultant will be provided by the Authority on request. The Nodal Officer designated by the Authority shall facilitate handing over of such information to the Consultant.

## 11. Completion of Services

- 11.1 All the study outputs including primary data shall be compiled, classified and submitted by the Consultant to the Authority in soft form apart from the reports indicated in the Deliverables (paragraph 4). The study outputs shall remain the property of the Authority and shall not be used for any purpose other than that intended under these Terms of Reference without the permission of the Authority. The Consultancy shall stand completed on acceptance by the Authority of all the Deliverables of the Consultant and execution of the Transmission Service Agreement or 52 weeks from the Effective Date, whichever is earlier. The Authority shall issue a certificate to that effect. The Consultancy shall in any case be deemed to be completed upon expiry of [1 (one)] year from the Effective Date, unless extended by mutual consent of the Authority and the Consultant.
- 11.2 10% (ten per cent) of the Agreement Value has been earmarked as lump sum payment to be made to the Consultant upon execution of the Transmission Service Agreement (the “**Lump Sum Payment**”). In consideration of the Lump Sum Payment, the Consultant shall provide such services as may be required by the Authority for concluding the Bid Process and execution of the Transmission Service Agreement. In the event the Transmission Service Agreement does not get executed within one year of the Effective Date, the Consultancy shall stand completed as specified in Clause 11.1 above, but no Lump Sum Payment shall be due to the Consultant, save and except the costs incurred for meeting its expenses during the period after expiry of 18 weeks from the Effective Date, including travel costs and personnel costs, at the agreed rates specified in Annex-3 of the Agreement, which shall be reimbursed to the Consultant as per actuals. For the avoidance of doubt, it is agreed that reimbursement of such costs on travel and personnel shall be due to the Consultant as aforesaid, even if the Transmission Service Agreement is not executed.



SCHEDULE-2  
(See Clause 2.1.3)

Agreement  
for  
Preparation of Feasibility Report for  
Development of A Transmission System  
in The State of \*\*\*\*



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**AGREEMENT**  
**Preparation of Feasibility Report for Development of a**  
**Transmission System in the State of\*\*\*\*\***

AGREEMENT No. \_\_\_\_\_

This AGREEMENT (hereinafter called the “**Agreement**”) is made on the \_\_\_\_\_ day of the month of \_\_\_\_\_ 2\*\*\*, between, on the one hand, the [Governor of the State of \*\*\*\*\* acting through \*\*\*\*\*/\*\*\*\*\*, \*\*\*\*\* and \*\*\*\*\* Electricity Distribution Companies/\*\*\*\*\*, a fully/ partly owned company of the Government of \*\*\*\*\*, acting in its capacity as the State Transmission Utility/ State Electricity Board] (hereinafter called the “**Authority**” which expression shall include their respective successors and permitted assigns, unless the context otherwise requires) and, on the other hand, \_\_\_\_\_ (hereinafter called the “**Consultant**” which expression shall include their respective successors and permitted assigns).

**WHEREAS**

- (A) The Authority vide its Request for Proposal for Preparation of Feasibility Report (hereinafter called the “**Consultancy**”) for development of a transmission system in the State of \*\*\*\*\* (hereinafter called the “**Project**”);
- (B) the Consultant submitted its proposals for the aforesaid work, whereby the Consultant represented to the Authority that it had the required professional skills, and in the said proposals the Consultant also agreed to provide the Services to the Authority on the terms and conditions as set forth in the RFP and this Agreement; and
- (C) the Authority, on acceptance of the aforesaid proposals of the Consultant, awarded the Consultancy to the Consultant vide its Letter of Award dated \_\_\_\_\_ (the “**LOA**”); and
- (D) in pursuance of the LOA, the parties have agreed to enter into this Agreement.

NOW, THEREFORE, the parties hereto hereby agree as follows:

**1. GENERAL**

**1.1 Definitions and Interpretation**

- 1.1.1 The words and expressions beginning with capital letters and defined in this Agreement shall, unless the context otherwise requires, have the meaning hereinafter respectively

assigned to them:

- (a) “Additional Costs” shall have the meaning set forth in Clause 6.1.2;
- (b) “Agreement” means this Agreement, together with all the Annexes;
- (c) “Agreement Value” shall have the meaning set forth in Clause 6.1.2;
- (d) “Applicable Laws” means the laws and any other instruments having the force of law in India as they may be issued and in force from time to time;
- (e) “Confidential Information” shall have the meaning set forth in Clause 3.3;
- (f) “Conflict of Interest” shall have the meaning set forth in Clause 3.2 read with the provisions of RFP;
- (g) “Dispute” shall have the meaning set forth in Clause 9.2.1;
- (h) “Effective Date” means the date on which this Agreement comes into force and effect pursuant to Clause 2.1;
- (i) “Expatriate Personnel” means such persons who at the time of being so hired had their domicile outside India;
- (j) “Government” means the [Government of \*\*\*\*\*];
- (k) “INR, Re. or Rs.” means Indian Rupees;
- (l) “Member”, in case the Consultant consists of a joint venture or consortium of more than one entity, means any of these entities, and “Members” means all of these entities;
- (m) “Party” means the Authority or the Consultant, as the case may be, and Parties means both of them;
- (n) “Personnel” means persons hired by the Consultant or by any Sub-Consultant as employees and assigned to the performance of the Services or any part thereof;
- (o) “Resident Personnel” means such persons who at the time of being so hired had their domicile inside India;
- (p) “RFP” means the Request for Proposal document in response to which the Consultant’s proposal for providing Services was accepted;

- (q) “Services” means the work to be performed by the Consultant pursuant to this Agreement, as described in the Terms of Reference hereto;
- (r) “Sub-Consultant” means any entity to which the Consultant subcontracts any part of the Services in accordance with the provisions of Clause 4.7; and
- (s) “Third Party” means any person or entity other than the Government, the Authority, the Consultant or a Sub-Consultant.

All terms and words not defined herein shall, unless the context otherwise requires, have the meaning assigned to them in the RFP.

1.1.2 The following documents along with all addenda issued thereto shall be deemed to form and be read and construed as integral parts of this Agreement and in case of any contradiction between or among them the priority in which a document would prevail over another would be as laid down below beginning from the highest priority to the lowest priority:

- (a) Agreement;
- (b) Annexes of Agreement;
- (c) RFP; and
- (d) Letter of Award.

## **1.2 Relation between the Parties**

Nothing contained herein shall be construed as establishing a relation of master and servant or of agent and principal as between the Authority and the Consultant. The Consultant shall, subject to this Agreement, have complete charge of Personnel performing the Services and shall be fully responsible for the Services performed by them or on their behalf hereunder.

## **1.3 Rights and obligations**

The mutual rights and obligations of the Authority and the Consultant shall be as set forth in the Agreement, in particular:

- (a) The Consultant shall carry out the Services in accordance with the provisions of the Agreement; and
- (b) the Authority shall make payments to the Consultant in accordance with the provisions of the Agreement.

#### **1.4 Governing law and jurisdiction**

This Agreement shall be construed and interpreted in accordance with and governed by the laws of India, and the courts at \*\*\*\*\* shall have exclusive jurisdiction over matters arising out of or relating to this Agreement.

#### **1.5 Language**

All notices required to be given by one Party to the other Party and all other communications, documentation and proceedings which are in any way relevant to this Agreement shall be in writing and in English language.

#### **1.6 Table of contents and headings**

The table of contents, headings or sub-headings in this Agreement are for convenience of reference only and shall not be used in, and shall not affect, the construction or interpretation of this Agreement.

#### **1.7 Notices**

Any notice or other communication to be given by any Party to the other Party under or in connection with the matters contemplated by this Agreement shall be in writing and shall:

- (a) In the case of the Consultant, be given by facsimile or e-mail and by letter delivered by hand to the address given and marked for attention of the Consultant's Representative set out below in Clause 1.10 or to such other person as the Consultant may from time to time designate by notice to the Authority; provided that notices or other communications to be given to an address outside \*\*\*\*\* may, if they are subsequently confirmed by sending a copy thereof by registered acknowledgement due, air mail or by courier, be sent by facsimile or e-mail to the number as the Consultant may from time to time designate by notice to the Authority;
- (b) in the case of the Authority, be given by facsimile or e-mail and by letter delivered by hand and be addressed to the Authority with a copy delivered to the Authority Representative set out below in Clause 1.10 or to such other person as the Authority may from time to time designate by notice to the Consultant; provided that if the Consultant does not have an office in [New Delhi] it may send such notice by facsimile or e-mail and by registered acknowledgement due, air mail or by courier; and

- (c) any notice or communication by a Party to the other Party, given in accordance herewith, shall be deemed to have been delivered when in the normal course of post it ought to have been delivered and in all other cases, it shall be deemed to have been delivered on the actual date and time of delivery; provided that in the case of facsimile or e-mail, it shall be deemed to have been delivered on the working days following the date of its delivery.

## **1.8 Location**

The Services shall be performed at the site of the Project in accordance with the provisions of RFP and at such locations as are incidental thereto, including the offices of the Consultant.

## **1.9 Authority of Member-in-charge**

In case the Consultant consists of a consortium of more than one entity, the Parties agree that the Lead Member shall act on behalf of the Members in exercising all the Consultant's rights and obligations towards the Authority under this Agreement, including without limitation the receiving of instructions and payments from the Authority.

## **1.10 Authorised Representatives**

1.10.1 Any action required or permitted to be taken, and any document required or permitted to be executed, under this Agreement by the Authority or the Consultant, as the case may be, may be taken or executed by the officials specified in this Clause 1.10.

1.10.2 The Authority may, from time to time, designate one of its officials as the Authority Representative. Unless otherwise notified, the Authority Representative shall be:

\*\*\*\*\*

Tel: \*\*\*\*\*

Mobile: \*\*\*\*\*

Fax: \*\*\*\*\*

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

1.10.3 The Consultant may designate one of its employees as Consultant's Representative. Unless otherwise notified, the Consultant's Representative shall be:

\*\*\*\*\*

Tel: \*\*\*\*\*

Mobile: \*\*\*\*\*

Fax: \*\*\*\*\*

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

### **1.11 Taxes and duties**

Unless otherwise specified in the Agreement, the Consultant shall pay all such taxes, duties, fees and other impositions as may be levied under the Applicable Laws and the Authority shall perform such duties in regard to the deduction of such taxes as may be lawfully imposed on it.

## **2. COMMENCEMENT, COMPLETION AND TERMINATION OF AGREEMENT**

### **2.1 Effectiveness of Agreement**

This Agreement shall come into force and effect on the date of this Agreement (the “**Effective Date**”).

### **2.2 Commencement of Services**

The Consultant shall commence the Services within a period of 7 (seven) days from the Effective Date, unless otherwise agreed by the Parties.

### **2.3 Termination of Agreement for failure to commence Services**

If the Consultant does not commence the Services within the period specified in Clause 2.2 above, the Authority may, by not less than 2 (two) weeks’ notice to the Consultant, declare this Agreement to be null and void, and in the event of such a declaration, the Bid Security of the Consultant shall stand forfeited.

### **2.4 Expiration of Agreement**

Unless terminated earlier pursuant to Clauses 2.3 or 2.9 hereof, this Agreement shall, unless extended by the Parties by mutual consent, expire upon the earlier of (i) expiry of a period of 90 (ninety) days after the delivery of the final deliverable to the Authority;

and (ii) the expiry of [1 (one) year] from the Effective Date. Upon Termination, the Authority shall make payments of all amounts due to the Consultant hereunder.

## **2.5 Entire Agreement**

2.5.1 This Agreement and the Annexes together constitute a complete and exclusive statement of the terms of the agreement between the Parties on the subject hereof, and no amendment or modification hereto shall be valid and effective unless such modification or amendment is agreed to in writing by the Parties and duly executed by persons especially empowered in this behalf by the respective Parties. All prior written or oral understandings, offers or other communications of every kind pertaining to this Agreement are abrogated and withdrawn; provided, however, that the obligations of the Consultant arising out of the provisions of the RFP shall continue to subsist and shall be deemed to form part of this Agreement.

2.5.2 Without prejudice to the generality of the provisions of Clause 2.5.1, on matters not covered by this Agreement, the provisions of RFP shall apply.

## **2.6 Modification of Agreement**

Modification of the terms and conditions of this Agreement, including any modification of the scope of the Services, may only be made by written agreement between the Parties. Pursuant to Clause 4.2.3 and 6.1.3 hereof, however, each Party shall give due consideration to any proposals for modification made by the other Party.

## **2.7 Force Majeure**

### **2.7.1 Definition**

- (a) For the purposes of this Agreement, “Force Majeure” means an event which is beyond the reasonable control of a Party, and which makes a Party’s performance of its obligations hereunder impossible or so impractical as reasonably to be considered impossible in the circumstances, and includes, but is not limited to, war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action (except where such strikes, lockouts or other industrial action are within the power of the Party invoking Force Majeure to prevent), confiscation or any other action by government agencies.
- (b) Force Majeure shall not include (i) any event which is caused by the negligence or intentional action of a Party or such Party’s Sub-Consultant or agents or employees, nor (ii) any event which a diligent Party could reasonably have been

expected to both (A) take into account at the time of the conclusion of this Agreement, and (B) avoid or overcome in the carrying out of its obligations hereunder.

- (c) Force Majeure shall not include insufficiency of funds or failure to make any payment required hereunder.

#### 2.7.2 No breach of Agreement

The failure of a Party to fulfil any of its obligations hereunder shall not be considered to be a breach of, or default under, this Agreement insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event has taken all reasonable precautions, due care and reasonable alternative measures, all with the objective of carrying out the terms and conditions of this Agreement.

#### 2.7.3 Measures to be taken

- (a) A Party affected by an event of Force Majeure shall take all reasonable measures to remove such Party's inability to fulfil its obligations hereunder with a minimum of delay.
- (b) A Party affected by an event of Force Majeure shall notify the other Party of such event as soon as possible, and in any event not later than 14 (fourteen) days following the occurrence of such event, providing evidence of the nature and cause of such event, and shall similarly give notice of the restoration of normal conditions as soon as possible.
- (c) The Parties shall take all reasonable measures to minimise the consequences of any event of Force Majeure.

#### 2.7.4 Extension of time

Any period within which a Party shall, pursuant to this Agreement, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.

#### 2.7.5 Payments

During the period of its inability to perform the Services as a result of an event of Force Majeure, the Consultant shall be entitled to be reimbursed for additional costs reasonably and necessarily incurred by it during such period for the purposes of the Services and in reactivating the Services after the end of such period.

### 2.7.6 Consultation

Not later than 30 (thirty) days after the Consultant has, as the result of an event of Force Majeure, become unable to perform a material portion of the Services, the Parties shall consult with each other with a view to agreeing on appropriate measures to be taken in the circumstances.

## 2.8 Suspension of Agreement

The Authority may, by written notice of suspension to the Consultant, suspend all payments to the Consultant hereunder if the Consultant shall be in breach of this Agreement or shall fail to perform any of its obligations under this Agreement, including the carrying out of the Services; provided that such notice of suspension (i) shall specify the nature of the breach or failure, and (ii) shall provide an opportunity to the Consultant to remedy such breach or failure within a period not exceeding 30 (thirty) days after receipt by the Consultant of such notice of suspension.

## 2.9 Termination of Agreement

### 2.9.1 By the Authority

The Authority may, by not less than 30 (thirty) days' written notice of termination to the Consultant, such notice to be given after the occurrence of any of the events specified in this Clause 2.9.1, terminate this Agreement if:

- (a) The Consultant fails to remedy any breach hereof or any failure in the performance of its obligations hereunder, as specified in a notice of suspension pursuant to Clause 2.8 hereinabove, within 30 (thirty) days of receipt of such notice of suspension or within such further period as the Authority may have subsequently granted in writing;
- (b) the Consultant becomes insolvent or bankrupt or enters into any agreement with its creditors for relief of debt or take advantage of any law for the benefit of debtors or goes into liquidation or receivership whether compulsory or voluntary;
- (c) the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause 9 hereof;
- (d) the Consultant submits to the Authority a statement which has a material effect on the rights, obligations or interests of the Authority and which the Consultant knows to be false;

- (e) any document, information, data or statement submitted by the Consultant in its Proposals, based on which the Consultant was considered eligible or successful, is found to be false, incorrect or misleading;
- (f) as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than 60 (sixty) days; or
- (g) the Authority, in its sole discretion and for any reason whatsoever, decides to terminate this Agreement.

### 2.9.2 By the Consultant

The Consultant may, by not less than 30 (thirty) days' written notice to the Authority, such notice to be given after the occurrence of any of the events specified in this Clause 2.9.2, terminate this Agreement if:

- (a) The Authority fails to pay any money due to the Consultant pursuant to this Agreement and not subject to dispute pursuant to Clause 9 hereof within 45 (forty five) days after receiving written notice from the Consultant that such payment is overdue;
- (b) the Authority is in material breach of its obligations pursuant to this Agreement and has not remedied the same within 45 (forty five) days (or such longer period as the Consultant may have subsequently granted in writing) following the receipt by the Authority of the Consultant's notice specifying such breach;
- (c) as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than 60 (sixty) days; or
- (d) the Authority fails to comply with any final decision reached as a result of arbitration pursuant to Clause 9 hereof.

### 2.9.3 Cessation of rights and obligations

Upon termination of this Agreement pursuant to Clauses 2.3 or 2.9 hereof, or upon expiration of this Agreement pursuant to Clause 2.4 hereof, all rights and obligations of the Parties hereunder shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, or which expressly survive such Termination; (ii) the obligation of confidentiality set forth in Clause 3.3 hereof; (iii) the Consultant's obligation to permit inspection, copying and auditing of such of its accounts and records set forth in Clause 3.6, as relate to the Consultant's Services provided under this Agreement; and (iv) any right or remedy which a Party may have under this Agreement or the Applicable Law.

#### 2.9.4 Cessation of Services

Upon termination of this Agreement by notice of either Party to the other pursuant to Clauses 2.9.1 or 2.9.2 hereof, the Consultant shall, immediately upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum. With respect to documents prepared by the Consultant and equipment and materials furnished by the Authority, the Consultant shall proceed as provided respectively by Clauses 3.9 or 3.10 hereof.

#### 2.9.5 Payment upon Termination

Upon termination of this Agreement pursuant to Clauses 2.9.1 or 2.9.2 hereof, the Authority shall make the following payments to the Consultant (after offsetting against these payments any amount that may be due from the Consultant to the Authority):

- (i) Remuneration pursuant to Clause 6 hereof for Services satisfactorily performed prior to the date of termination;
- (ii) reimbursable expenditures pursuant to Clause 6 hereof for expenditures actually incurred prior to the date of termination; and
- (iii) except in the case of termination pursuant to sub-clauses (a) through (e) of Clause 2.9.1 hereof, reimbursement of any reasonable cost incidental to the prompt and orderly termination of the Agreement including the cost of the return travel of the Consultant's personnel.

#### 2.9.6 Disputes about Events of Termination

If either Party disputes whether an event specified in Clause 2.9.1 or in Clause 2.9.2 hereof has occurred, such Party may, within 30 (thirty) days after receipt of notice of termination from the other Party, refer the matter to arbitration pursuant to Clause 9 hereof, and this Agreement shall not be terminated on account of such event except in accordance with the terms of any resulting arbitral award.

### **3. OBLIGATIONS OF THE CONSULTANT**

#### **3.1 General**

##### 3.1.1 Standards of Performance

The Consultant shall perform the Services and carry out its obligations hereunder with all due diligence, efficiency and economy, in accordance with generally accepted

professional techniques and practices, and shall observe sound management practices, and employ appropriate advanced technology and safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Agreement or to the Services, as a faithful adviser to the Authority, and shall at all times support and safeguard the Authority's legitimate interests in any dealings with Sub-Consultants or Third Parties.

### 3.1.2 Terms of Reference

The scope of services to be performed by the Consultant is specified in the Terms of Reference (the "**TOR**") at Annex-1 of this Agreement. The Consultant shall provide the Deliverables specified therein in conformity with the time schedule stated therein.

### 3.1.3 Applicable Laws

The Consultant shall perform the Services in accordance with the Applicable Laws and shall take all practicable steps to ensure that any Sub-Consultant, as well as the Personnel and agents of the Consultant and any Sub-Consultant, comply with the Applicable Laws.

## 3.2 Conflict of Interest

3.2.1 The Consultant shall not have a Conflict of Interest and any breach hereof shall constitute a breach of the Agreement.

### 3.2.2 Consultant and Affiliates not to be otherwise interested in the Project

The Consultant agrees that, during the term of this Agreement and after its termination, the Consultant or any Associate thereof and any entity affiliated with the Consultant, as well as any Sub-Consultant and any entity affiliated with such Sub-Consultant, shall be disqualified from providing goods, works, services, loans or equity for any project resulting from or closely related to the Services and any breach of this obligation shall amount to a Conflict of Interest; provided that the restriction herein shall not apply after a period of five years from the completion of this assignment or to consulting assignments granted by banks/ lenders at any time; provided further that this restriction shall not apply to consultancy/ advisory services provided to the Authority in continuation of this Consultancy or to any subsequent consultancy/ advisory services provided to the Authority in accordance with the rules of the Authority. For the avoidance of doubt, an entity affiliated with the Consultant shall include a partner in the Consultant's firm or a person who holds more than 5% (five per cent) of the subscribed and paid up share capital of the Consultant, as the case may be, and any Associate thereof.

### 3.2.3 Prohibition of conflicting activities

Neither the Consultant nor its Sub-Consultant nor the Personnel of either of them shall engage, either directly or indirectly, in any of the following activities:

- (a) During the term of this Agreement, any business or professional activities which would conflict with the activities assigned to them under this Agreement;
- (b) after the termination of this Agreement, such other activities as may be specified in the Agreement; or
- (c) at any time, such other activities as have been specified in the RFP as Conflict of Interest.

### 3.2.4 Consultant not to benefit from commissions, discounts, etc.

The remuneration of the Consultant pursuant to Clause 6 hereof shall constitute the Consultant's sole remuneration in connection with this Agreement or the Services and the Consultant shall not accept for its own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Agreement or to the Services or in the discharge of its obligations hereunder, and the Consultant shall use its best efforts to ensure that any Sub-Consultant, as well as the Personnel and agents of either of them, similarly shall not receive any such additional remuneration.

3.2.5 The Consultant and its Personnel shall observe the highest standards of ethics and shall have not engaged in and shall not hereafter engage in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice (collectively the "**Prohibited Practices**"). Notwithstanding anything to the contrary contained in this Agreement, the Authority shall be entitled to terminate this Agreement forthwith by a communication in writing to the Consultant, without being liable in any manner whatsoever to the Consultant, if it determines that the Consultant has, directly or indirectly or through an agent, engaged in any Prohibited Practices in the Selection Process or before or after entering into of this Agreement. In such an event, the Authority shall forfeit and appropriate the performance security, if any, as mutually agreed genuine pre-estimated compensation and damages payable to the Authority towards, *inter alia*, the time, cost and effort of the Authority, without prejudice to the Authority's any other rights or remedy hereunder or in law.

3.2.6 Without prejudice to the rights of the Authority under Clause 3.2.5 above and the other rights and remedies which the Authority may have under this Agreement, if the Consultant

is found by the Authority to have directly or indirectly or through an agent, engaged or indulged in any Prohibited Practices, during the Selection Process or before or after the execution of this Agreement, the Consultant shall not be eligible to participate in any tender or RFP issued during a period of 2 (two) years from the date the Consultant is found by the Authority to have directly or indirectly or through an agent, engaged or indulged in any Prohibited Practices.

3.2.7 For the purposes of Clauses 3.2.5 and 3.2.6, the following terms shall have the meaning hereinafter respectively assigned to them:

- (a) “**corrupt practice**” means the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence the actions of any person connected with the Selection Process (for removal of doubt, offering of employment or employing or engaging in any manner whatsoever, directly or indirectly, any official of the Authority who is or has been associated in any manner, directly or indirectly with Selection Process or LOA or dealing with matters concerning the Agreement before or after the execution thereof, at any time prior to the expiry of one year from the date such official resigns or retires from or otherwise ceases to be in the service of the Authority, shall be deemed to constitute influencing the actions of a person connected with the Selection Process); or (ii) engaging in any manner whatsoever, whether during the Selection Process or after the issue of LOA or after the execution of the Agreement, as the case may be, any person in respect of any matter relating to the Project or the LOA or the Agreement, who at any time has been or is a legal, financial or technical adviser the Authority in relation to any matter concerning the Project;
- (b) “**fraudulent practice**” means a misrepresentation or omission of facts or suppression of facts or disclosure of incomplete facts, in order to influence the Selection Process;
- (c) “**coercive practice**” means impairing or harming, or threatening to impair or harm, directly or indirectly, any person or property to influence any person’s participation or action in the Selection Process or the exercise of its rights or performance of its obligations by the Authority under this Agreement;
- (d) “**undesirable practice**” means (i) establishing contact with any person connected with or employed or engaged by the Authority with the objective of canvassing, lobbying or in any manner influencing or attempting to influence the Selection Process; or (ii) having a Conflict of Interest; and

- (e) “**restrictive practice**” means forming a cartel or arriving at any understanding or arrangement among Applicants with the objective of restricting or manipulating a full and fair competition in the Selection Process.

### 3.3 Confidentiality

The Consultant, its Sub-Consultants and the Personnel of either of them shall not, either during the term or within two years after the expiration or termination of this Agreement disclose any proprietary information, including information relating to reports, data, drawings, design software or other material, whether written or oral, in electronic or magnetic format, and the contents thereof; and any reports, digests or summaries created or derived from any of the foregoing that is provided by the Authority to the Consultant, its Sub-Consultants and the Personnel; any information provided by or relating to the Authority, its technology, technical processes, business affairs or finances or any information relating to the Authority’s employees, officers or other professionals or suppliers, customers, or contractors of the Authority; and any other information which the Consultant is under an obligation to keep confidential in relation to the Project, the Services or this Agreement (“**Confidential Information**”), without the prior written consent of the Authority.

Notwithstanding the aforesaid, the Consultant, its Sub-Consultants and its Personnel may disclose Confidential Information to the extent that such Confidential Information:

- (i) Was in the public domain prior to its delivery to the Consultant, its Sub-Consultants and the Personnel of either of them or becomes a part of the public knowledge from a source other than the Consultant, its Sub-Consultants and the Personnel of either of them;
- (ii) was obtained from a third party with no known duty to maintain its confidentiality;
- (iii) is required to be disclosed by Applicable Laws or judicial or administrative or arbitral process or by any governmental instrumentalities, provided that for any such disclosure, the Consultant, its Sub-Consultants and the Personnel of either of them shall give the Authority, prompt written notice, and use reasonable efforts to ensure that such disclosure is accorded confidential treatment; and
- (iv) is provided to the professional advisers, agents, auditors or representatives of the Consultant or its Sub-Consultants or Personnel of either of them, as is reasonable under the circumstances; provided, however, that the Consultant or its Sub-

Consultants or Personnel of either of them, as the case may be, shall require their professional advisers, agents, auditors or its representatives, to undertake in writing to keep such Confidential Information, confidential and shall use its best efforts to ensure compliance with such undertaking.

### **3.4 Liability of the Consultant**

3.4.1 The Consultant's liability under this Agreement shall be determined by the Applicable Laws and the provisions hereof.

3.4.2 Consultant's liability towards the Authority

The Consultant shall, subject to the limitation specified in Clause 3.4.3, be liable to the Authority for any direct loss or damage accrued or likely to accrue due to deficiency in Services rendered by it.

3.4.3 The Parties hereto agree that in case of negligence or willful misconduct on the part of the Consultant or on the part of any person or firm acting on behalf of the Consultant in carrying out the Services, the Consultant, with respect to damage caused to the Authority's property, shall not be liable to the Authority:

- (i) For any indirect or consequential loss or damage; and
- (ii) for any direct loss or damage that exceeds (a) the Agreement Value set forth in Clause 6.1.2 of this Agreement, or (b) the proceeds the Consultant may be entitled to receive from any insurance maintained by the Consultant to cover such a liability in accordance with Clause 3.5.2, whichever of (a) or (b) is higher.

This limitation of liability shall not affect the Consultant's liability, if any, for damage to Third Parties caused by the Consultant or any person or firm acting on behalf of the Consultant in carrying out the Services.

### **3.5 Insurance to be taken out by the Consultant**

3.5.1 (a) The Consultant shall, for the duration of this Agreement, take out and maintain, and shall cause any Sub-Consultant to take out and maintain, at its (or the Sub-Consultant's, as the case may be) own cost, but on terms and conditions approved by the Authority, insurance against the risks, and for the coverages, as specified in the Agreement and in accordance with good industry practice.

(b) Within 15 (fifteen) days of receiving any insurance policy certificate in respect

of insurances required to be obtained and maintained under this clause, the Consultant shall furnish to the Authority, copies of such policy certificates, copies of the insurance policies and evidence that the insurance premia have been paid in respect of such insurance. No insurance shall be cancelled, modified or allowed to expire or lapse during the term of this Agreement.

- (c) If the Consultant fails to effect and keep in force the aforesaid insurances for which it is responsible pursuant hereto, the Authority shall, apart from having other recourse available under this Agreement, have the option, without prejudice to the obligations of the Consultant, to take out the aforesaid insurance, to keep in force any such insurances, and pay such premia and recover the costs thereof from the Consultant, and the Consultant shall be liable to pay such amounts on demand by the Authority.
- (d) Except in case of Third Party liabilities, the insurance policies so procured shall mention the Authority as the beneficiary of the Consultant and the Consultant shall procure an undertaking from the insurance company to this effect; provided that in the event the Consultant has a general insurance policy that covers the risks specified in this Agreement and the amount of insurance cover is equivalent to 3 (three) times the cover required hereunder, such insurance policy may not mention the Authority as the sole beneficiary of the Consultant or require an undertaking to that effect.

3.5.2 The Parties agree that the risks and coverages shall include but not be limited to the following:

- (a) Third Party liability insurance as required under Applicable Laws, with a minimum coverage of [Rs. 1 (one) crore]<sup>19</sup>;
- (b) employer's liability and workers' compensation insurance in respect of the Personnel of the Consultant and of any Sub-Consultant, in accordance with Applicable Laws; and
- (c) professional liability insurance for an amount no less than the Agreement Value.

The indemnity limit in terms of "Any One Accident" (the "AOA") and "Aggregate limit on the policy period" (the "AOP") should not be less than the amount stated in Clause 6.1.2 of the Agreement. In case of consortium, the policy should be in the name of Lead Member and not in the name of individual Members of the consortium.

<sup>19</sup> This amount may be fixed at 1% (one per cent) of the indicative capital cost of the Project, but subject to a maximum of Rs. 20 crore.

### **3.6 Accounting, inspection and auditing**

The Consultant shall:

- a) Keep accurate and systematic accounts and records in respect of the Services provided under this Agreement, in accordance with internationally accepted accounting principles and in such form and detail as will clearly identify all relevant time charges and cost, and the basis thereof (including the basis of the Consultant's costs and charges); and
- b) permit the Authority or its designated representative periodically, and up to one year from the expiration or termination of this Agreement, to inspect the same and make copies thereof as well as to have them audited by auditors appointed by the Authority.

### **3.7 Consultant's actions requiring the Authority's prior approval**

The Consultant shall obtain the Authority's prior approval in writing before taking any of the following actions:

- (a) Appointing such members of the Professional Personnel as are not listed in Annex-2;
- (b) entering into a subcontract for the performance of any part of the Services, it being understood (i) that the selection of the Sub-Consultant and the terms and conditions of the subcontract shall have been approved in writing by the Authority prior to the execution of the subcontract, and (ii) that the Consultant shall remain fully liable for the performance of the Services by the Sub-Consultant and its Personnel pursuant to this Agreement; or
- (c) any other action that is specified in this Agreement.

### **3.8 Reporting obligations**

The Consultant shall submit to the Authority the reports and documents specified in the Agreement, in the form, in the numbers and within the time periods set forth therein.

### **3.9 Documents prepared by the Consultant to be property of the Authority**

- 3.9.1 All plans, drawings, specifications, designs, reports and other documents (collectively referred to as "**Consultancy Documents**") prepared by the Consultant (or by the Sub-Consultants or any Third Party) in performing the Services shall become and remain the property of the Authority, and all intellectual property rights in such Consultancy

Documents shall vest with the Authority. Any Consultancy Document, of which the ownership or the intellectual property rights do not vest with the Authority under law, shall automatically stand assigned to the Authority as and when such Consultancy Document is created and the Consultant agrees to execute all papers and to perform such other acts as the Authority may deem necessary to secure its rights herein assigned by the Consultant.

- 3.9.2 The Consultant shall, not later than termination or expiration of this Agreement, deliver all Consultancy Documents to the Authority, together with a detailed inventory thereof. The Consultant may retain a copy of such Consultancy Documents. The Consultant, its Sub-Consultants or a Third Party shall not use these Consultancy Documents for purposes unrelated to this Agreement without the prior written approval of the Authority.
- 3.9.3 The Consultant shall hold the Authority harmless and indemnified for any losses, claims, damages, expenses (including all legal expenses), awards, penalties or injuries (collectively referred to as 'claims') which may arise from or due to any unauthorised use of such Consultancy Documents, or due to any breach or failure on part of the Consultant or its Sub-Consultants or a Third Party to perform any of its duties or obligations in relation to securing the aforementioned rights of the Authority.

### **3.10 Equipment and materials furnished by the Authority**

Equipment and materials made available to the Consultant by the Authority shall be the property of the Authority and shall be marked accordingly. Upon termination or expiration of this Agreement, the Consultant shall furnish forthwith to the Authority, an inventory of such equipment and materials and shall dispose of such equipment and materials in accordance with the instructions of the Authority. While in possession of such equipment and materials, the Consultant shall, unless otherwise instructed by the Authority in writing, insure them in an amount equal to their full replacement value.

### **3.11 Providing access to Project Office and Personnel**

The Consultant shall ensure that the Authority, and officials of the Authority having authority from the Authority, are provided unrestricted access to the Project Office and to all Personnel during office hours. The Authority's official, who has been authorised by the Authority in this behalf, shall have the right to inspect the Services in progress, interact with Personnel of the Consultant and verify the records relating to the Services for his satisfaction.

### **3.12. Accuracy of Documents**

The Consultant shall be responsible for accuracy of the data collected by it directly or procured from other agencies/authorities, the designs, drawings, estimates and all other

details prepared by it as part of these services. Subject to the provisions of Clause 3.4, it shall indemnify the Authority against any inaccuracy in its work which might surface during implementation of the Project, if such inaccuracy is the result of any negligence or inadequate due diligence on part of the Consultant or arises out of its failure to conform to good industry practice. The Consultant shall also be responsible for promptly correcting, at its own cost and risk, the drawings including any re-survey/ investigations.

#### **4. CONSULTANT'S PERSONNEL AND SUB-CONSULTANTS**

##### **4.1 General**

The Consultant shall employ and provide such qualified and experienced Personnel as may be required to carry out the Services.

##### **4.2 Deployment of Personnel**

4.2.1 The designations, names and the estimated periods of engagement in carrying out the Services by each of the Consultant's Personnel are described in Annex-2 of this Agreement. The estimate of Personnel costs and manday rates are specified in Annex-3 of this Agreement.

4.2.2 Adjustments with respect to the estimated periods of engagement of Personnel set forth in the aforementioned Annex-3 may be made by the Consultant by written notice to the Authority, provided that: (i) such adjustments shall not alter the originally estimated period of engagement of any individual by more than 20% (twenty per cent) or one week, whichever is greater, and (ii) the aggregate of such adjustments shall not cause payments under the Agreement to exceed the Agreement Value set forth in Clause 6.1.2 of this Agreement. Any other adjustments shall only be made with the written approval of the Authority.

4.2.3 If additional work is required beyond the scope of the Services specified in the Terms of Reference, the estimated periods of engagement of Personnel, set forth in the Annexes of the Agreement may be increased by agreement in writing between the Authority and the Consultant, provided that any such increase shall not, except as otherwise agreed, cause payments under this Agreement to exceed the Agreement Value set forth in Clause 6.1.2.

##### **4.3 Approval of Personnel**

4.3.1 The Professional Personnel listed in Annex-2 of the Agreement are hereby approved by the Authority. No other Professional Personnel shall be engaged without prior approval of the Authority.

4.3.2 If the Consultant hereafter proposes to engage any person as Professional Personnel, it shall submit to the Authority its proposal along with a CV of such person in the form provided at Appendix-I (Form-12) of the RFP. The Authority may approve or reject such proposal within 14 (fourteen) days of receipt thereof. In case the proposal is rejected, the Consultant may propose an alternative person for the Authority's consideration. In the event the Authority does not reject a proposal within 14 (fourteen) days of the date of receipt thereof under this Clause 4.3, it shall be deemed to have been approved by the Authority.

#### **4.4 Substitution of Key Personnel**

The Authority expects all the Key Personnel specified in the Proposal to be available during implementation of the Agreement. The Authority will not consider any substitution of Key Personnel except under compelling circumstances beyond the control of the Consultant and the concerned Key Personnel. Such substitution shall be limited to not more than 2 (two) Key Personnel subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority. Without prejudice to the foregoing, substitution of one Key Personnel shall be permitted subject to reduction of remuneration equal to 20% (twenty per cent) of the total remuneration specified for the Key Personnel who is proposed to be substituted. In case of a second substitution, such reduction shall be equal to 50% (fifty per cent) of the total remuneration specified for the Key Personnel who is proposed to be substituted.

#### **4.5 Working hours, overtime, leave, etc.**

The Personnel shall not be entitled to be paid for overtime nor to take paid sick leave or vacation leave except as specified in the Agreement, and the Consultant's remuneration shall be deemed to cover these items. All leave to be allowed to the Personnel is excluded from the mandays of service set forth in Annex-2. Any taking of leave by any Personnel for a period exceeding 7 (seven) days shall be subject to the prior approval of the Authority, and the Consultant shall ensure that any absence on leave will not delay the progress and quality of the Services.

#### **4.6 Resident Team Leader and Project Manager**

The person designated as the Team Leader of the Consultant's Personnel shall be responsible for the coordinated, timely and efficient functioning of the Personnel. In addition, the Consultant shall designate a suitable person as Project Manager (the "**Project Manager**") who shall be responsible for day to day performance of the Services.

#### **4.7 Sub-Consultants**

Sub-Consultants listed in Annex-4 of this Agreement are hereby approved by the Authority. The Consultant may, with prior written approval of the Authority, engage additional Sub-Consultants or substitute an existing Sub-Consultant. The hiring of Personnel by the Sub-Consultants shall be subject to the same conditions as applicable to Personnel of the Consultant under this Clause 4.

### **5. OBLIGATIONS OF THE AUTHORITY**

#### **5.1 Assistance in clearances etc.**

Unless otherwise specified in the Agreement, the Authority shall make best efforts to ensure that the Government shall:

- (a) Provide the Consultant, its Sub-Consultants and Personnel with work permits and such other documents as may be necessary to enable the Consultant, its Sub-Consultants or Personnel to perform the Services;
- (b) facilitate prompt clearance through customs of any property required for the Services; and
- (c) issue to officials, agents and representatives of the Government all such instructions as may be necessary or appropriate for the prompt and effective implementation of the Services.

#### **5.2 Access to land and property**

The Authority warrants that the Consultant shall have, free of charge, unimpeded access to the site of the project in respect of which access is required for the performance of Services; provided that if such access shall not be made available to the Consultant as and when so required, the Parties shall agree on (i) the time extension, as may be appropriate, for the performance of Services, and (ii) the additional payments, if any, to be made to the Consultant as a result thereof pursuant to Clause 6.1.3.

#### **5.3 Change in Applicable Law**

If, after the date of this Agreement, there is any change in the Applicable Laws with respect to taxes and duties which increases or decreases the cost or reimbursable expenses incurred by the Consultant in performing the Services, by an amount exceeding 2% (two per cent) of the Agreement Value specified in Clause 6.1.2, then the

remuneration and reimbursable expenses otherwise payable to the Consultant under this Agreement shall be increased or decreased accordingly by agreement between the Parties hereto, and corresponding adjustments shall be made to the aforesaid Agreement Value.

#### **5.4 Payment**

In consideration of the Services performed by the Consultant under this Agreement, the Authority shall make to the Consultant such payments and in such manner as is provided in Clause 6 of this Agreement.

### **6. PAYMENT TO THE CONSULTANT**

#### **6.1 Cost estimates and Agreement Value**

6.1.1 An abstract of the cost of the Services payable to the Consultant is set forth in Annex-5 of the Agreement.

6.1.2 Except as may be otherwise agreed under Clause 2.6 and subject to Clause 6.1.3, the payments under this Agreement shall not exceed the agreement value specified herein (the “**Agreement Value**”). The Parties agree that the Agreement Value is Rs. .... (Rs. ....), which does not include the Additional Costs specified in Annex-5 (the “**Additional Costs**”).

6.1.3 Notwithstanding anything to the contrary contained in Clause 6.1.2, if pursuant to the provisions of Clauses 2.6 and 2.7, the Parties agree that additional payments shall be made to the Consultant in order to cover any additional expenditures not envisaged in the cost estimates referred to in Clause 6.1.1 above, the Agreement Value set forth in Clause 6.1.2 above shall be increased by the amount or amounts, as the case may be, of any such additional payments.

#### **6.2 Currency of payment**

All payments shall be made in Indian Rupees. The Consultant shall be free to convert Rupees into any foreign currency as per Applicable Laws.

#### **6.3 Mode of billing and payment**

Billing and payments in respect of the Services shall be made as follows:-

- (a) A Mobilisation Advance for an amount upto 10% (ten per cent) of the Agreement Value shall be paid to the Consultant on request and against a Bank Guarantee from a Scheduled Bank in India in an amount equal to such advance, such Bank Guarantee to remain effective until the advance payment has been fully set off

as provided herein. The advance outstanding shall attract simple interest @ 10% (ten per cent) per annum and shall be adjusted in four equal instalments from the first four stage payments due and payable to the Consultant, and the accrued interest shall be recovered from the fifth instalment due and payable thereafter.

- (b) The Consultant shall be paid for its services as per the Payment Schedule at Annex-6 of this Agreement, subject to the Consultant fulfilling the following conditions:
  - (i) No payment shall be due for the next stage till the Consultant completes, to the satisfaction of the Authority, the work pertaining to the preceding stage.
  - (ii) The Authority shall pay to the Consultant only the undisputed amount.
- (c) The Authority shall cause the payment due to the Consultant to be made within 30 (thirty) days after the receipt by the Authority of duly completed bills with necessary particulars (the “**Due Date**”). Interest at the rate of 10% (ten per cent) per annum shall become payable as from the Due Date on any amount due by, but not paid on or before, such Due Date.
- (d) The final payment under this Clause shall be made only after the final report and a final statement, identified as such, shall have been submitted by the Consultant and approved as satisfactory by the Authority. The Services shall be deemed completed and finally accepted by the Authority and the final deliverable shall be deemed approved by the Authority as satisfactory upon expiry of 90 (ninety) days after receipt of the final deliverable by the Authority unless the Authority, within such 90 (ninety) day period, gives written notice to the Consultant specifying in detail, the deficiencies in the Services. The Consultant shall thereupon promptly make any necessary corrections and/or additions, and upon completion of such corrections or additions, the foregoing process shall be repeated. The Authority shall make the final payment upon acceptance or deemed acceptance of the final deliverable by the Authority.
- (e) Any amount which the Authority has paid or caused to be paid in excess of the amounts actually payable in accordance with the provisions of this Agreement shall be reimbursed by the Consultant to the Authority within 30 (thirty) days after receipt by the Consultant of notice thereof. Any such claim by the Authority for reimbursement must be made within 1 (one) year after receipt by the Authority of a final report and a final statement in accordance with Clause 6.3(d). Any delay by the Consultant in reimbursement by the due date shall attract simple interest @ 10% (ten per cent) per annum.

- (f) 10% (ten per cent) of the Agreement Value has been earmarked as Final Payment to be made to the Consultant upon execution of the Transmission Service Agreement. In the event the Transmission Service Agreement does not get executed within 1 (one) year of the Effective Date the Final Payment shall not become due to the Consultant, save and except the costs incurred for meeting its reimbursable expenses during the period after expiry of 18 (eighteen) weeks from the Effective Date, including travel costs and personnel costs, at the agreed rates.
- (g) All payments under this Agreement shall be made to the account of the Consultant as may be notified to the Authority by the Consultant.

## **7. LIQUIDATED DAMAGES AND PENALTIES**

### **7.1 Performance Security**

- 7.1.1 The Authority shall retain by way of performance security (the “**Performance Security**”), 5% (five per cent) of all the amounts due and payable to the Consultant, to be appropriated against breach of this Agreement or for recovery of liquidated damages as specified in Clause 7.2 herein. The balance remaining out of the Performance Security shall be returned to the Consultant at the end of 3 (three) months after the expiration of this Agreement pursuant to Clause 2.4 hereof.
- 7.1.2 The Consultant may, in lieu of retention of the amounts as referred to in Clause 7.1.1 above, furnish a Bank Guarantee substantially in the form specified at Annex-7 of this Agreement.

### **7.2 Liquidated Damages**

#### **7.2.1 Liquidated Damages for error/variation**

In case any error or variation is detected in the reports submitted by the Consultant and such error or variation is the result of negligence or lack of due diligence on the part of the Consultant, the consequential damages thereof shall be quantified by the Authority in a reasonable manner and recovered from the Consultant by way of deemed liquidated damages, subject to a maximum of 50% (fifty per cent) of the Agreement Value.

#### **7.2.2 Liquidated Damages for delay**

In case of delay in completion of Services, liquidated damages not exceeding an amount equal to 0.2% (zero point two per cent) of the Agreement Value per day, subject to a maximum of 10% (ten per cent) of the Agreement Value will be imposed and shall be recovered by appropriation from the Performance Security or otherwise. However, in

case of delay due to reasons beyond the control of the Consultant, suitable extension of time shall be granted.

#### 7.2.3 Encashment and appropriation of Performance Security

The Authority shall have the right to invoke and appropriate the proceeds of the Performance Security, in whole or in part, without notice to the Consultant in the event of breach of this Agreement or for recovery of liquidated damages specified in this Clause 7.2.

### 7.3 **Penalty for deficiency in Services**

In addition to the liquidated damages not amounting to penalty, as specified in Clause 7.2, warning may be issued to the Consultant for minor deficiencies on its part. In the case of significant deficiencies in Services causing adverse effect on the Project or on the reputation of the Authority, other penal action including debarring for a specified period may also be initiated as per policy of the Authority.

## 8. **FAIRNESS AND GOOD FAITH**

### 8.1 **Good Faith**

The Parties undertake to act in good faith with respect to each other's rights under this Agreement and to adopt all reasonable measures to ensure the realisation of the objectives of this Agreement.

### 8.2 **Operation of the Agreement**

The Parties recognise that it is impractical in this Agreement to provide for every contingency which may arise during the life of the Agreement, and the Parties hereby agree that it is their intention that this Agreement shall operate fairly as between them, and without detriment to the interest of either of them, and that, if during the term of this Agreement either Party believes that this Agreement is operating unfairly, the Parties will use their best efforts to agree on such action as may be necessary to remove the cause or causes of such unfairness, but failure to agree on any action pursuant to this Clause shall not give rise to a dispute subject to arbitration in accordance with Clause 9 hereof.

## 9. **SETTLEMENT OF DISPUTES**

### 9.1 **Amicable settlement**

The Parties shall use their best efforts to settle amicably all disputes arising out of or in connection with this Agreement or the interpretation thereof.

## 9.2 Dispute resolution

9.2.1 Any dispute, difference or controversy of whatever nature howsoever arising under or out of or in relation to this Agreement (including its interpretation) between the Parties, and so notified in writing by either Party to the other Party (the “**Dispute**”) shall, in the first instance, be attempted to be resolved amicably in accordance with the conciliation procedure set forth in Clause 9.3.

9.2.2 The Parties agree to use their best efforts for resolving all Disputes arising under or in respect of this Agreement promptly, equitably and in good faith, and further agree to provide each other with reasonable access during normal business hours to all non-privileged records, information and data pertaining to any Dispute.

## 9.3 Conciliation

In the event of any Dispute between the Parties, either Party may call upon [Secretary, \*\*\*\*\* Department/ Chairman, \*\*\*\*\* and \*\*\*\*\* Electricity Distribution Companies/ State Electricity Board] and the Chairman of the Board of Directors of the Consultant or a substitute thereof for amicable settlement, and upon such reference, the said persons shall meet no later than 10 (ten) days from the date of reference to discuss and attempt to amicably resolve the Dispute. If such meeting does not take place within the 10 (ten) day period or the Dispute is not amicably settled within 15 (fifteen) days of the meeting or the Dispute is not resolved as evidenced by the signing of written terms of settlement within 30 (thirty) days of the notice in writing referred to in Clause 9.2.1 or such longer period as may be mutually agreed by the Parties, either Party may refer the Dispute to arbitration in accordance with the provisions of Clause 9.4.

## 9.4 Arbitration

9.4.1 Any Dispute which is not resolved amicably by conciliation, as provided in Clause 9.3, shall be finally decided by reference to arbitration by an Arbitral Tribunal appointed in accordance with Clause 9.4.2. Such arbitration shall be held in accordance with the Rules of Arbitration of the International Centre for Alternative Dispute Resolution, New Delhi (the “**Rules**”), or such other rules as may be mutually agreed by the Parties, and shall be subject to the provisions of the Arbitration and Conciliation Act, 1996. The venue of such arbitration shall be \*\*\*\*\* and the language of arbitration proceedings shall be English.

9.4.2 There shall be {an Arbitral Tribunal of three arbitrators, of whom each Party shall select one, and the third arbitrator shall be appointed by the two arbitrators so selected, and

in the event of disagreement between the two arbitrators, the appointment} {a sole arbitrator<sup>s</sup> whose appointment} shall be made in accordance with the Rules.

- 9.4.3 The arbitrators shall make a reasoned award (the “**Award**”). Any Award made in any arbitration held pursuant to this Clause 9 shall be final and binding on the Parties as from the date it is made, and the Consultant and the Authority agree and undertake to carry out such Award without delay.
- 9.4.4 The Consultant and the Authority agree that an Award may be enforced against the Consultant and/or the Authority, as the case may be, and their respective assets wherever situated.
- 9.4.5 This Agreement and the rights and obligations of the Parties shall remain in full force and effect, pending the Award in any arbitration proceedings hereunder.

IN WITNESS WHEREOF, the Parties hereto have caused this Agreement to be signed in their respective names as of the day and year first above written.

SIGNED, SEALED AND DELIVERED

For and on behalf of  
Consultant:

(Signature)  
(Name)  
(Designation)  
(Address)  
(Fax No.)

SIGNED, SEALED AND DELIVERED

For and on behalf of  
[Authority]

(Signature)  
(Name)  
(Designation)  
(Address)  
(Fax No.)

In the presence of:

1.

2.

<sup>s</sup> In case the Agreement Value specified in Clause 6.1.2 of this Agreement does not exceed Rs. 1 (one) crore, a sole arbitrator shall be appointed. In case the Agreement Value specified in Clause 6.1.2 of this Agreement is more than Rs. 1 (one) crore, a Board shall be appointed. Depending upon the Agreement Value, one of the two curly parentheses shall be deleted from Clause 9.4.2.

Annex-1

**Terms of Reference**  
*(Refer Clause 3.1.2)*

(Reproduce Schedule-1 of RFP)

Annex-2

**Deployment of Personnel**  
*(Refer Clause 4.2)*

(Reproduce as per Form-13 of Appendix-I)

Annex-3

**Estimate of Personnel Costs**  
*(Refer Clause 4.2)*

(Reproduce as per Form-3 of Appendix-II)

Annex-4

**Approved Sub-Consultant(s)**  
*(Refer Clause 4.7)*

(Reproduce as per Form-15 of Appendix-I)

Annex-5

**Cost of Services**  
*(Refer Clause 6.1)*

(Reproduce as per Form-2 of Appendix-II)

## Annex-6

**Payment Schedule<sup>20</sup>**  
(Refer Clause 6.3)

<b>Key Date No.</b>	<b>Description of Deliverables</b>	<b>Week No.<sup>21</sup></b>	<b>Payment</b>
KD1	Inception Report	2	—
KD2	Report on Alternative Route Alignments and the preferred alignment, including preliminary cost estimates	11	30%
[KD3]	[Report on Environmental and Social Impact Assessment;] [Report on involuntary resettlement and land acquisition]	[14]	[10%]
KD4	Draft Feasibility Report including Schedules to the Transmission Service Agreement	16	[25/35]%
KD5	Final Feasibility Report	18	25%
KD6	Completion of Services including assistance during Bid Process	52	10%
	Total		100%

## Notes:

1. *The above payments shall be made to the Consultant provided that the payments to be made at any time shall not exceed the amount certified by the Consultant in its Statement of Expenses.*
2. *All Reports shall first be submitted as draft reports for comments of the Authority. The Authority shall provide its comments no later than 3 (three) weeks from the date of receiving a draft report and in case no comments are provided within such 3 (three) weeks, the Consultant shall finalise its report. Provided, however, that the*

<sup>20</sup> The Payment Schedule should be in conformity with the Schedule provided in the TOR at Schedule-1.

<sup>21</sup> The time schedule may be suitably extended for transmission line systems exceeding [100] km.

*Authority may take upto 4 (four) weeks in providing its comments on the Draft Feasibility Report.*

- 3. Feasibility Report shall be completed in 18 (eighteen) weeks excluding the time taken by the Authority in providing its comments on the Draft Feasibility Report. The Consultant may take 1 (one) week for submitting its Final Feasibility Report after receipt of comments from the Authority.*
- 4. Final payment of 10% (ten per cent) shall be released upon completion of Services in their entirety[, including submission of the Environmental and Social Impact Assessment Reports].*
- 5. Mobilisation Advance upto 10% (ten per cent) of the total Agreement Value shall be paid on request against Bank Guarantee of a Scheduled Bank. This shall attract 10% (ten per cent) simple interest per annum and shall be adjusted against the first 4 (four) bills in four equal installments and the accrued interest will be recovered from the 5<sup>th</sup> (fifth) bill.*

Annex-7

**Bank Guarantee for Performance Security**

*(Refer Clause 7.1.2)*

To  
[The  
Governor of the State of \*\*\*\*\*  
acting through the Secretary, Department of Power/  
\*\*\*\*\*, \*\*\*\*\* and \*\*\*\*\* Electricity Distribution Companies/  
\*\*\*\*\* State Transmission Utility/  
State Electricity Board  
\*\*\*\*\*  
\*\*\*\*\*  
\*\*\*\*\*]

In consideration of \*\*\*\*\* acting on behalf of the [Governor of the State of \*\*\*\*\*/ \*\*\*\*\*,  
\*\*\*\*\* and \*\*\*\*\* Electricity Distribution Companies/ \*\*\*\*\*, a fully/ partly owned company of the  
Government of \*\*\*\*\*, acting in its capacity as the State Transmission Utility/ State Electricity  
Board] (hereinafter referred as the “Authority”, which expression shall, unless repugnant to the  
context or meaning thereof, include its successors, administrators and assigns) having awarded  
to M/s ....., having its office at ..... (hereinafter referred as the  
“Consultant” which expression shall, unless repugnant to the context or meaning thereof, include  
its successors, administrators, executors and assigns), vide the Authority’s Agreement no.  
..... dated ..... valued at Rs. .... (Rupees .....),  
(hereinafter referred to as the “Agreement”) Consultancy Services for development of a  
transmission system in the State of \*\*\*\*\*, and the Consultant having agreed to furnish a Bank  
Guarantee amounting to Rs. .... (Rupees ..... ) to the Authority for  
performance of the said Agreement.

We, ..... (hereinafter referred to as the “Bank”) at the request of the  
Consultant do hereby undertake to pay to the Authority an amount not exceeding Rs.  
..... (Rupees ..... ) against any loss or damage caused to or suffered  
or would be caused to or suffered by the Authority by reason of any breach by the said Consultant  
of any of the terms or conditions contained in the said Agreement.

2. We, ..... (indicate the name of the Bank) do hereby undertake to pay the

amounts due and payable under this Guarantee without any demur, merely on a demand from the Authority stating that the amount/claimed is due by way of loss or damage caused to or would be caused to or suffered by the Authority by reason of breach by the said Consultant of any of the terms or conditions contained in the said Agreement or by reason of the Consultant's failure to perform the said Agreement. Any such demand made on the bank shall be conclusive as regards the amount due and payable by the Bank under this Guarantee. However, our liability under this Guarantee shall be restricted to an amount not exceeding Rs. .... (Rupees .....).

3. We ..... (indicate the name of Bank) undertake to pay to the Authority any money so demanded notwithstanding any dispute or disputes raised by the Consultant in any suit or proceeding pending before any court or tribunal relating thereto, our liability under this present being absolute and unequivocal. The payment so made by us under this bond shall be a valid discharge of our liability for payment thereunder and the Consultant shall have no claim against us for making such payment.

4. We, ..... (indicate the name of Bank) further agree that the Guarantee herein contained shall remain in full force and effect during the period that would be taken for the performance of the said Agreement and that it shall continue to be enforceable till all the dues of the Authority under or by virtue of the said Agreement have been fully paid and its claims satisfied or discharged or till the Authority certifies that the terms and conditions of the said Agreement have been fully and properly carried out by the said Consultant and accordingly discharges this Guarantee. Unless a demand or claim under this Guarantee is made on us in writing on or before a period of one year from the date of this Guarantee, we shall be discharged from all liability under this Guarantee thereafter.

5. We, ..... (indicate the name of Bank) further agree with the Authority that the Authority shall have the fullest liberty without our consent and without affecting in any manner our obligations hereunder to vary any of the terms and conditions of the said Agreement or to extend time of performance by the said Consultant from time to time or to postpone for any time or from time to time any of the powers exercisable by the Authority against the said Consultant and to forbear or enforce any of the terms and conditions relating to the said Agreement and we shall not be relieved from our liability by reason of any such variation, or extension being granted to the said Consultant or for any forbearance, act or omission on the part of the Authority or any indulgence by the Authority to the said Consultant or any such matter or thing whatsoever which under the law relating to sureties would, but for this provision, have the effect of so relieving us.

6. This Guarantee will not be discharged due to the change in the constitution of the Bank or the Consultant(s).

7. We, ..... (indicate the name of Bank) lastly undertake not to revoke this Guarantee during its currency except with the previous consent of the Authority in writing.

8. For the avoidance of doubt, the Bank's liability under this Guarantee shall be restricted to Rs. \*\*\* crore (Rupees \*\*\*\*\* crore) only. The Bank shall be liable to pay the said amount or any part thereof only if the Authority serves a written claim on the Bank in accordance with paragraph 2 hereof, on or before [\*\*\* (indicate date falling 180 days after the date of this Guarantee)].

For .....

Name of Bank:

Seal of the Bank:

Dated, the ..... day of ....., 20\*\*

(Signature, name and designation of the authorised signatory)

NOTES:

- (i) The Bank Guarantee should contain the name, designation and code number of the officer(s) signing the Guarantee.
- (ii) The address, telephone no. and other details of the Head Office of the Bank as well as of issuing Branch should be mentioned on the covering letter of issuing Branch.

SCHEDULE-3  
(See Clause 2.3.3)

**Guidance Note on Conflict of Interest**

1. This Note further explains and illustrates the provisions of Clause 2.3 of the RFP and shall be read together therewith in dealing with specific cases.
2. Consultants should be deemed to be in a conflict of interest situation if it can be reasonably concluded that their position in a business or their personal interest could improperly influence their judgment in the exercise of their duties. The process for selection of consultants should avoid both actual and perceived conflict of interest.
3. Conflict of interest may arise between the Authority and a consultant or between consultants and present or future concessionaries/ contractors. Some of the situations that would involve conflict of interest are identified below:
  - (a) Authority and consultants:
    - (i) Potential consultant should not be privy to information from the Authority which is not available to others; or
    - (ii) potential consultant should not have defined the project when earlier working for the Authority; or
    - (iii) potential consultant should not have recently worked for the Authority overseeing the project.
  - (b) Consultants and transmission service providers/contractors:
    - (i) No consultant should have an ownership interest or a continuing business interest or an on-going relationship with a potential transmission service provider/ contractor save and except relationships restricted to project-specific and short-term assignments; or
    - (ii) no consultant should be involved in owning or operating entities resulting from the project; or
    - (iii) no consultant should bid for works arising from the project.

The participation of companies that may be involved as investors or consumers and officials of the Authority who have current or recent connections to the companies involved, therefore, needs to be avoided.

4. The normal way to identify conflicts of interest is through self-declaration by consultants. Where a conflict exists, which has not been declared, competing companies are likely to bring this to the notice of the Authority. All conflicts must be declared as and when the consultants become aware of them.
5. Another approach towards avoiding a conflict of interest is through the use of “Chinese walls” to avoid the flow of commercially sensitive information from one part of the consultant’s company to another. This could help overcome the problem of availability of limited numbers of experts for the project. However, in reality effective operation of “Chinese walls” may be a difficult proposition. As a general rule, larger companies will be more capable of adopting Chinese walls approach than smaller companies. Although, “Chinese walls” have been relatively common for many years, they are an increasingly discredited means of avoiding conflicts of interest and should be considered with caution. As a rule, “Chinese walls” should be considered as unacceptable and may be accepted only in exceptional cases upon full disclosure by a consultant coupled with provision of safeguards to the satisfaction of the Authority.
6. Another way to avoid conflicts of interest is through the appropriate grouping of tasks. For example, conflicts may arise if consultants drawing up the terms of reference or the proposed documentation are also eligible for the consequent assignment or project.
7. Another form of conflict of interest called “scope-creep” arises when consultants advocate either an unnecessary broadening of the terms of reference or make recommendations which are not in the best interests of the Authority but which will generate further work for the consultants. Some forms of contractual arrangements are more likely to lead to scope-creep. For example, lump-sum contracts provide fewer incentives for this, while time and material contracts provide built in incentives for consultants to extend the length of their assignment.
8. Every project contains potential conflicts of interest. Consultants should not only avoid any conflict of interest, they should report any present/ potential conflict of interest to the Authority at the earliest. Officials of the Authority involved in development of a project shall be responsible for identifying and resolving any conflicts of interest. It should be ensured that safeguards are in place to preserve fair and open competition and measures should be taken to eliminate any conflict of interest arising at any stage in the process.

# Appendices



APPENDIX-I  
(See Clause 2.1.3)

**TECHNICAL PROPOSAL**

Form-1

**Letter of Proposal**

(On Applicant's letter head)

(Date and Reference)

To,

\*\*\*\*\*  
\*\*\*\*\*  
\*\*\*\*\*

Sub: Appointment of Consultant for preparation of Feasibility Report

Dear Sir,

With reference to your RFP Document dated ....., I/we, having examined all relevant documents and understood their contents, hereby submit our Proposal for selection as Consultant for development of a transmission system in the State of \*\*\*\*\*. The proposal is unconditional and unqualified.

2. All information provided in the Proposal and in the Appendices is true and correct and all documents accompanying such Proposal are true copies of their respective originals.
3. This statement is made for the express purpose of appointment as the Consultant for the aforesaid Project.
4. I/We shall make available to the Authority any additional information it may deem necessary or require for supplementing or authenticating the Proposal.
5. I/We acknowledge the right of the Authority to reject our application without assigning any reason or otherwise and hereby waive our right to challenge the same on any account whatsoever.
6. I/We certify that in the last three years, we or any of our Associates have neither failed to perform on any contract, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial pronouncement or arbitration award against the Applicant, nor been expelled from any project or contract by any public authority nor have had

any contract terminated by any public authority for breach on our part.

7. I/We declare that:
  - (a) I/We have examined and have no reservations to the RFP Documents, including any Addendum issued by the Authority;
  - (b) I/We do not have any conflict of interest in accordance with Clause 2.3 of the RFP Document;
  - (c) I/We have not directly or indirectly or through an agent engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice, as defined in Clause 4.3 of the RFP document, in respect of any tender or request for proposal issued by or any agreement entered into with the Authority or any other public sector enterprise or any government, Central or State; and
  - (d) I/We hereby certify that we have taken steps to ensure that in conformity with the provisions of Section 4 of the RFP, no person acting for us or on our behalf will engage in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice.
8. I/We understand that you may cancel the Selection Process at any time and that you are neither bound to accept any Proposal that you may receive nor to select the Consultant, without incurring any liability to the Applicants in accordance with Clause 2.8 of the RFP document.
9. I/We declare that we/any member of the consortium, are/is not a Member of a/any other Consortium applying for Selection as a Consultant.
10. I/We certify that in regard to matters other than security and integrity of the country, we or any of our Associates have not been convicted by a Court of Law or indicted or adverse orders passed by a regulatory authority which would cast a doubt on our ability to undertake the Consultancy for the Project or which relates to a grave offence that outrages the moral sense of the community.
11. I/We further certify that in regard to matters relating to security and integrity of the country, we have not been charge-sheeted by any agency of the Government or convicted by a Court of Law for any offence committed by us or by any of our Associates.
12. I/We further certify that no investigation by a regulatory authority is pending either against us or against our Associates or against our CEO or any of our Directors/ Managers/ employees.

13. I/We hereby irrevocably waive any right or remedy which we may have at any stage at law or howsoever otherwise arising to challenge or question any decision taken by the Authority [and/ or the Government of India] in connection with the selection of Consultant or in connection with the Selection Process itself in respect of the above mentioned Project.
14. The Bid Security of Rs. \*\*\*\*\* (Rupees \*\*\*\*\* ) in the form of a Demand Draft is attached, in accordance with the RFP document.
15. I/We agree and understand that the proposal is subject to the provisions of the RFP document. In no case, shall I/we have any claim or right of whatsoever nature if the Consultancy for the Project is not awarded to me/us or our proposal is not opened or rejected.
16. I/We agree to keep this offer valid for 90 (ninety) days from the Proposal Due Date specified in the RFP.
17. A Power of Attorney in favour of the authorised signatory to sign and submit this Proposal and documents is attached herewith in Form-4.
18. In the event of my/ our firm/ consortium being selected as the Consultant, I/we agree to enter into an Agreement in accordance with the form at Schedule-2 of the RFP. We agree not to seek any changes in the aforesaid form and agree to abide by the same.
19. I/We have studied RFP and all other documents carefully and also surveyed the Project site. We understand that except to the extent as expressly set forth in the Agreement, we shall have no claim, right or title arising out of any documents or information provided to us by the Authority or in respect of any matter arising out of or concerning or relating to the Selection Process including the award of Consultancy.
20. The Financial Proposal is being submitted in a separate cover. This Technical Proposal read with the Financial Proposal shall constitute the Application which shall be binding on us.
21. I/We agree and undertake to abide by all the terms and conditions of the RFP Document. In witness thereof, I/we submit this Proposal under and in accordance with the terms of the RFP Document.

Yours faithfully,

(Signature, name and designation of the authorised signatory)

(Name and seal of the Applicant / Lead Member)

## APPENDIX-I

Form-2**Particulars of the Applicant**

1.1	Title of Consultancy: PREPARATION OF FEASIBILITY REPORT
1.2	Title of Project: Development of a Transmission System in the State of *****
1.3	State whether applying as Sole Firm or Lead Member of a consortium: Sole Firm or Lead Member of a consortium
1.4	State the following: Name of Company or Firm: Legal status (e.g. incorporated private company, unincorporated business, partnership etc.): Country of incorporation: Registered address:  Year of Incorporation: Year of commencement of business: Principal place of business: Brief description of the Company including details of its main lines of business Name, designation, address and phone numbers of authorised signatory of the Applicant: Name: Designation: Company: Address: Phone No.: Fax No. : E-mail address:

1.5	<p>If the Applicant is Lead Member of a consortium, state the following for each of the other Member Firms:</p> <p>(i) Name of Firm:</p> <p>(ii) Legal Status and country of incorporation</p> <p>(iii) Registered address and principal place of business.</p>
1.6	<p>For the Applicant, (in case of a consortium, for each Member), state the following information:</p> <p>(i) In case of non Indian Firm, does the Firm have business presence in India? Yes/No If so, provide the office address(es) in India.</p> <p>(ii) Has the Applicant or any of the Members in case of a consortium been penalized by any organization for poor quality of work or breach of contract in the last five years? Yes/No</p> <p>(iii) Has the Applicant/ Member ever failed to complete any work awarded to it by any public authority/entity in last five years? Yes/No</p> <p>(iv) Has the Applicant or any member of the consortium been blacklisted by any Government department/Public Sector Undertaking in the last five years? Yes/No</p> <p>(v) Has the Applicant or any of the Members, in case of a consortium, suffered bankruptcy/insolvency in the last five years? Yes/No</p> <p><b>Note: If answer to any of the questions at (ii) to (v) is yes, the Applicant is not eligible for this consultancy assignment.</b></p>
1.7	<p>Does the Applicant's firm/company (or any member of the consortium) combine functions as a consultant or adviser along with the functions as a contractor and/or a manufacturer? Yes/No</p> <p>If yes, does the Applicant (and other Member of the Applicant's consortium) agree to limit the Applicant's role only to that of a consultant/ adviser to the Authority and to disqualify themselves, their Associates/ affiliates, subsidiaries and/or parent organization subsequently from work on this Project in any other capacity? Yes/No</p>

1.8	<p>Does the Applicant intend to borrow or hire temporarily, personnel from contractors, manufacturers or suppliers for performance of the Consulting Services?      Yes/No</p> <p>If yes, does the Applicant agree that it will only be acceptable as Consultant, if those contractors, manufacturers and suppliers disqualify themselves from subsequent execution of work on this Project (including tendering relating to any goods or services for any other part of the Project) other than that of the Consultant?      Yes/No</p> <p>If yes, have any undertakings been obtained (and annexed) from such contractors, manufacturers, etc. that they agree to disqualify themselves from subsequent execution of work on this Project and they agree to limit their role to that of consultant/ adviser for the Authority only?      Yes/No</p> <p style="text-align: center;">(Signature, name and designation of the authorised signatory)</p> <p style="text-align: center;">For and on behalf of .....</p>
-----	--

APPENDIX-I

Form-3

**Statement of Legal Capacity**

*(To be forwarded on the letter head of the Applicant)*

(Date and Reference)

To,

\*\*\*\*\*

\*\*\*\*\*

Dear Sir,

Sub: RFP for Consultant: Development of a transmission system in the State of \*\*\*\*\*

I/We hereby confirm that we, the Applicant (along with other members in case of consortium, constitution of which has been described in the Proposal\*), satisfy the terms and conditions laid down in the RFP document.

I/We have agreed that ..... (insert Applicant's name) will act as the Lead Member of our consortium.

I/We have agreed that ..... (insert individual's name) will act as our Authorised Representative/ will act as the Authorised Representative of the consortium on our behalf and has been duly authorized to submit our Proposal. Further, the authorised signatory is vested with requisite powers to furnish such proposal and all other documents, information or communication and authenticate the same.

Yours faithfully,

(Signature, name and designation of the authorised signatory)

For and on behalf of .....

*\*Please strike out whichever is not applicable*

APPENDIX-I

Form-4

**Power of Attorney**

Know all men by these presents, we, ..... (name of Firm and address of the registered office) do hereby constitute, nominate, appoint and authorise Mr / Ms..... son/daughter/wife and presently residing at ....., who is presently employed with us and holding the position of ..... as our true and lawful attorney (hereinafter referred to as the “Authorised Representative”) to do in our name and on our behalf, all such acts, deeds and things as are necessary or required in connection with or incidental to submission of our Proposal for and selection as the Consultant for Preparation of Feasibility Report for development of a transmission system in the State of \*\*\*\*\*, proposed to be developed by the \*\*\*\*\* (the “Authority”) including but not limited to signing and submission of all applications, proposals and other documents and writings, participating in pre-bid and other conferences and providing information/ responses to the Authority, representing us in all matters before the Authority, signing and execution of all contracts and undertakings consequent to acceptance of our proposal and generally dealing with the Authority in all matters in connection with or relating to or arising out of our Proposal for the said Project and/or upon award thereof to us till the entering into of the Agreement with the Authority.

AND, we do hereby agree to ratify and confirm all acts, deeds and things lawfully done or caused to be done by our said Authorised Representative pursuant to and in exercise of the powers conferred by this Power of Attorney and that all acts, deeds and things done by our said Authorised Representative in exercise of the powers hereby conferred shall and shall always be deemed to have been done by us.

IN WITNESS WHEREOF WE, ..... THE ABOVE NAMED PRINCIPAL HAVE EXECUTED THIS POWER OF ATTORNEY ON THIS ..... DAY OF ....., 20\*\*

For .....  
(Signature, name, designation and address)

Witnesses:

- 1.
- 2.

Notarised

Accepted  
.....  
(Signature, name, designation and address of the Attorney)

*Notes:*

*The mode of execution of the Power of Attorney should be in accordance with the procedure, if any, laid down by the applicable law and the charter documents of the executant(s) and when it is so required the same should be under common seal affixed in accordance with the required procedure. The Power of Attorney should be executed on a non-judicial stamp paper of Rs. 50 (Rupees fifty) and duly notarised by a notary public.*

*Wherever required, the Applicant should submit for verification the extract of the charter documents and other documents such as a resolution/power of attorney in favour of the person executing this Power of Attorney for the delegation of power hereunder on behalf of the Applicant.*

*For a Power of Attorney executed and issued overseas, the document will also have to be legalised by the Indian Embassy and notarised in the jurisdiction where the Power of Attorney is being issued. However, Applicants from countries that have signed the Hague Legislation Convention 1961 need not get their Power of Attorney legalised by the Indian Embassy if it carries a conforming Appostille certificate.*

## APPENDIX-I

Form-5**Financial Capacity of the Applicant***(Refer Clause 2.2.2 (B))*

<b>S. No.</b>	<b>Financial Year</b>	<b>Annual Revenue (Rs. in crore/US \$ in million)</b>
1.		
2.		
3.		
<p><b>Certificate from the Statutory Auditor<sup>s</sup></b></p> <p>This is to certify that .....(name of the Applicant) has received the payments shown above against the respective years on account of professional fees.</p> <p>Name of the audit firm:</p> <p>Seal of the audit firm</p> <p>Date:</p> <p style="text-align: center;">(Signature, name and designation of the authorised signatory)</p>		

<sup>s</sup> In case the Applicant does not have a statutory auditor, it shall provide the certificate from its chartered accountant that ordinarily audits the annual accounts of the Applicant.

**Note:** Please do not attach any printed Annual Financial Statement.

APPENDIX-I

Form-6

Particulars of Key Personnel

S. No.	Designation of Key Personnel	Name	Educational Qualification	Length of Professional Experience	Present Employment		No. of Eligible Assignments#
					Name of Firm	Employed Since	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
1.	Senior System Engineer-cum-Team Leader						
2.	Transmission Expert						
3.	Sub-Station Expert						
4	Surveyor						
5	Financial Analyst						
[6.	Environmental and Social Impact Assessment Expert						1

#Refer Form-9 of Appendix-I Experience of Key Personnel

APPENDIX-I

Form-7

**Proposed Methodology and Work Plan**

The proposed methodology and work plan shall be described as follows:

1. Understanding of TOR (not more than two pages)

The Applicant shall clearly state its understanding of the TOR and also highlight its important aspects. The Applicant may supplement various requirements of the TOR and also make precise suggestions if it considers this would bring more clarity and assist in achieving the Objectives laid down in the TOR.

2. Methodology and Work Plan (not more than three pages)

The Applicant will submit its methodology for carrying out this assignment, outlining its approach toward achieving the Objectives laid down in the TOR. The Applicant will submit a brief write up on its proposed team and organisation of personnel explaining how different areas of expertise needed for this assignment have been fully covered by its proposal. In case the Applicant is a consortium, it should specify how the expertise of each firm is proposed to be utilised for this assignment. The Applicant should specify the sequence and locations of important activities, and provide a quality assurance plan for carrying out the Consultancy Services.

**Note:** Marks will be deducted for lengthy writing and out of context responses.

## APPENDIX-I

Form-8**Abstract of Eligible Assignments of the Applicant<sup>#</sup>***(Refer Clause 3.1)*

S.No	Name of Project	Name of Client	Estimated capital cost of Project (in Rs. crore/ US\$ million)	Payment <sup>##</sup> of professional fees received by the Applicant (in Rs. crore)
(1)	(2)	(3)	(4)	(5)
1				
2				
3				
4				

# The Applicant should provide details of only those projects that have been undertaken by it under its own name.

## Exchange rate should be taken as Rs. [50] per US \$ for conversion to Rupees.

\* The names and chronology of Eligible Projects included here should conform to the project-wise details submitted in Form-10 of Appendix-I.

**Certificate from the Statutory Auditor<sup>s</sup>**

This is to certify that the information contained in Column 5 above is correct as per the accounts of the Applicant and/ or the clients.

Name of the audit firm:

Seal of the audit firm:

Date:

(Signature, name and designation of the authorised signatory)

<sup>s</sup> In case the Applicant does not have a statutory auditor, it shall provide the certificate from its chartered accountant that ordinarily audits the annual accounts of the Applicant.

**Note:** The Applicant may attach separate sheets to provide brief particulars of other relevant experience of the Applicant.

## APPENDIX-I

## Form-9

**Abstract of Eligible Assignments of Key Personnel®**  
(Refer Clause 3.1)

Name of Key Personnel:			Designation:				
S.No	Name of Project*	Name of Client	Estimated capital cost of project (in Rs. crore/ US\$ million)	Name of firm for which the Key Personnel worked	Designation of the Key Personnel on the assignment	Date of completion of the assignment	Mandays spent
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

@ Use separate Form for each Key Personnel.

\* The names and chronology of projects included here should conform to the project-wise details submitted in Form-8 of Appendix-I.

**Note:** The Applicant may attach separate sheets to provide brief particulars of other relevant experience of the Key Personnel.

## APPENDIX-I

Form-10**Eligible Assignments of Applicant***(Refer Clause 3.1.4)*

Name of Applicant:	
Name of the Project:	
Length in km or other particulars	
Description of services performed by the Applicant firm:	
Name of client and Address: (Indicate whether public or private entity)	
Name, telephone no. and fax no. of client's representative:	
Estimated capital cost of Project (in Rs. crore or US\$ million):	
Payment received by the Applicant (in Rs. crore):	
Start date and finish date of the services (month/year):	
Brief description of the Project:	

**Notes:**

1. Use separate sheet for each Eligible Project.
2. The Applicant may attach separate sheets to provide brief particulars of other relevant experience of the Applicant.
3. Exchange rate should be taken as Rs. [50] per US \$ for conversion to Rupees.

## APPENDIX-I

Form-11**Eligible Assignments of Key Personnel***(Refer Clause 3.1.4)*

Name of Key Personnel:	
Designation of Key Personnel:	
Name of the Project:	
Length in km or other particulars	
Name of Consulting Firm where employed:	
Description of services performed by the Key Personnel (including designation):	
Name of client and Address: (indicate whether public or private)	
Name, telephone no. and fax no. of client's representative:	
Estimated capital cost of the Project (in Rs. crore or US\$ million):	
Start date and finish date of the services (month/ year):	
Brief description of the Project:	
<p>It is certified that the aforesaid information is true and correct to the best of my knowledge and belief.</p> <p style="text-align: right;">(Signature and name of Key Personnel)</p>	

**Notes:**

1. Use separate sheet for each Eligible Project.
2. The Applicant may attach separate sheets to provide brief particulars of other relevant experience of the Key Personnel.
3. Exchange rate should be taken as Rs. [50] per US \$ for conversion to Indian Rupees.

APPENDIX-I

Form-12

**Curriculum Vitae (CV) of Key Personnel**

1. Proposed Position:
2. Name of Personnel:
3. Date of Birth:
4. Nationality:
5. Educational Qualifications:
6. Employment Record:  
(Starting with present position, list in reverse order every employment held.)
7. List of projects on which the Personnel has worked
 

Name of project	Description of responsibilities
8. Details of the current assignment and the time duration for which services are required for the current assignment.  
 Certification:
  - 1 I am willing to work on the Project and I will be available for entire duration of the Project assignment as required.
  - 2 I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications and my experience.

Place..... (Signature and name of the Key Personnel)  
 (Signature and name of the authorised signatory of the Applicant)

**Notes:**

1. Use separate form for each Key Personnel
2. The names and chronology of assignments included here should conform to the project-wise details submitted in Form-8 of Appendix-I.
3. Each page of the CV shall be signed in ink by both the Personnel concerned and by the Authorised Representative of the Applicant firm along with the seal of the firm. Photocopies will not be considered for evaluation.





## APPENDIX-I

Form-15**Proposal for Sub-Consultant(s)**

1. Details of the Firm				
Firm's Name, Address and Telephone				
Name and Telephone No. of the Contact Person				
Fields of Expertise				
No. of Years in business in the above Fields				
2. Services that are proposed to be sub contracted:				
3. Person who will lead the Sub-Consultant				
Name:				
Designation:				
Telephone No:				
Email:				
4. Details of Firm's previous experience				
Name of Work	Name, address and telephone no. of Client	Total Value of Services Performed	Duration of Services	Date of Completion of Services
1.				
2.				
3.				

(Signature and name of the authorised signatory)

**Note:**

1. The Proposal for Sub-Consultant(s) shall be accompanied by the details specified in Forms 12 and 13 of Appendix-I.
2. Use separate form for each Sub-Consultant

APPENDIX-II  
**FINANCIAL PROPOSAL**  
Form-1  
**Covering Letter**  
(On Applicant's letter head)

(Date and Reference)

To,

\*\*\*\*\*

\*\*\*\*\*

\*\*\*\*\*

Dear Sir,

Subject: Appointment of Consultant for Preparation of Feasibility Report for Development of a Transmission System in the State of \*\*\*\*\*

I/We, \_\_\_\_\_ (Applicant's name) herewith enclose the Financial Proposal for selection of my/our firm as Consultant for above.

I/We agree that this offer shall remain valid for a period of 90 (ninety) days from the Proposal Due Date or such further period as may be mutually agreed upon.

Yours faithfully,

(Signature, name and designation of the authorised signatory)

**Note:** The Financial Proposal is to be submitted strictly as per forms given in the RFP.

APPENDIX-II  
(See Clause 2.1.3)

Form-2

**Financial Proposal**

Item No.	Description	Amount (Rs.)
<b>A.</b>	<b>RESIDENT PERSONNEL AND LOCAL COSTS</b>	
I.	Remuneration for Resident Professional Personnel (inclusive of all personal allowances)	
II.	Remuneration for Resident Support Personnel (inclusive of all personal allowances)	
III.	Office Rent	
IV.	Office Consumables like stationery, communication etc.	
V.	Office Furniture and Equipment (Rental)	
VI.	Reports and Document Printing	
VII.	Surveys & Investigations	
VIII.	Miscellaneous Expenses	
	<b>Sub-total Resident Personnel and Local Costs (A):</b>	
<b>B.</b>	<b>EXPATRIATE PERSONNEL</b>	
I	Remuneration for Expatriate Personnel (inclusive of all personal allowances)	
	<b>Subtotal Expatriate Personnel (B):</b>	
	<b>Total of Personnel and Local Costs (A+B):</b>	
<b>C.</b>	<b>POST REPORT CONSULTATIONS</b>	
	2 man days each of:	
I.	Senior System Engineer-cum-Team Leader	
II.	Transmission Expert	
III.	Sub-Station Expert	
IV.	Surveyor	
V.	Financial Analyst	
[VI.	Environmental and Social Impact Assessment Expert]	
	<b>Subtotal Post Report Consultations (C):</b>	

<b>D.</b>	<b>SUBTOTAL OF A+B+C</b>	
<b>E.</b>	<b>OVERHEAD EXPENSES @ ..... % of (D)</b>	
<b>F.</b>	<b>SERVICE TAX</b>	
<b>G.</b>	<b>TOTAL (including taxes) (D+E+F) (in Rs.)</b> In Indian Rupees in figures in words _____	
<b>H.</b>	<b>ADDITIONAL COSTS (not included in evaluation)</b>	
I.	Domestic travel from firm's office to the Project Office (restricted to three return economy class air fares for each Personnel)	
II.	International travel from firm's office to the Project Office (restricted to two return full fare economy class air fares for each Expatriate Personnel)	
III.	Return journeys from Project Office to Authority's office to attend meetings held by the Authority (provide indicative amount for three return fares)	
	<b>Total of Additional Costs (H)</b>	
<b>I.</b>	<b>TOTAL COST OF THE CONSULTANCY (G+H)</b>	
	In Indian Rupees in figures in words _____	

**Note:**

1. The financial evaluation shall be based on the above Financial Proposal, excluding Additional Costs. The total in Item G shall, therefore, be the amount for purposes of evaluation. Additional Costs in Item H shall not be reckoned for purposes of financial evaluation.
2. Estimate of Costs for Item A I, A II and B I shall be as per Form-3.
3. Miscellaneous Expenses in Item A VIII shall not exceed 15% (fifteen per cent) of the total amount in Item D.
4. Domestic Air Fare in Item H I shall not be payable to the Consultant's Personnel who are normally stationed in \*\*\*\*\*.
5. All costs shall be reimbursed on production of a Statement of Expenses, duly certified by the Authorised Representative. However, no details of expenditures would be sought for overhead expenses, which will be reimbursed in proportion to the total expenses under Item D.

6. The reimbursement of expenses shall be limited to the amounts indicated above.
7. Savings of upto 20% (twenty per cent) under any head of expenditure specified in the summary of Financial Proposal may be reappropriated by the Consultant and added to any other head of expenditure, subject to a ceiling of 10% (ten per cent) in respect of the recipient head of expenditure. Upon Notification of such reappropriation to the Authority, the Financial Proposal shall be deemed to be amended, and payment shall be made accordingly.
8. No escalation on any account will be payable on the above amounts.
9. All other charges not shown here and all insurance premia are considered included in the man day rate/ overhead/ miscellaneous expenses.
10. The Authority may require the Key Personnel to visit the Project/ the Authority's offices for further consultations after their Report has been accepted. The cost (remuneration including personal allowances) of 2 (two) man days of each Key Personnel is included in the Financial Proposal. The Authority may require upto 12 (twelve) extra days of consultation with any or all Key Personnel on payment of additional charges. For any increase as compared to the aforesaid 2 (two) days, payment shall be computed solely on the basis of relevant man day rates specified in the financial proposal. In all cases, return full fare economy class airfare shall be reimbursed in addition, as per actuals.
11. The Authority may require Professional Personnel to visit the Project/the Authority's offices for further consultations or undertake desk work after the report has been accepted. The additional costs on this account shall be paid to the Consultant as per agreed man day rates and economy return airfare as per actuals shall also be reimbursed. However, the total number of additional mandays requisitioned hereunder shall not exceed 120 (one hundred and twenty).
12. All payments shall be made in Indian Rupees and shall be subject to applicable Indian laws withholding taxes if any.
13. For the purposes hereof "**Statement of Expenses**" means a statement of the expenses incurred on each of the heads indicated in the Financial Proposal; provided that in relation to expenses on Personnel, the Statement of Expenses shall be accompanied by the particulars of Personnel and the mandays spent on the Consultancy.
14. Lump Sum Payment shall be made only upon execution of the Concession Agreement with the Concessionaire selected through the Bid Process. No Lump Sum Payment shall be due or payable if the Concession Agreement is not executed within one year from the Effective Date; provided, however, that personnel and travel costs already incurred or due shall be payable.

APPENDIX-II

Form-3

Estimate of Personnel Costs

ID No.	Position	Name	Manday Rate (Rs.)	Total Man Days	Amount (Rs.)
<b>A I. Remuneration for Resident Professional Personnel (including all personal allowances)</b>					
Total:					
<b>A II. Remuneration for Resident Support Personnel (including all personal allowances)</b>					
Total:					
<b>B I. Remuneration for Expatriate Personnel (including all personal allowances)</b>					
Total:					

**APPENDIX-III**  
**LIST OF BID-SPECIFIC CLAUSES<sup>5</sup>**

**A. Clauses and appendices with non-numerical footnotes**

1. Clause 2.2.3: Conditions of Eligibility of Applicants
2. Clause 2.11.3: Amendment of RFP
3. Schedule 1: Terms of Reference (TOR) for technical consultant: Table below Clause 6.2, and Payment Schedule
4. Schedule 2: Form of Agreement: Clause 9.4.2
5. Form-5, Appendix-I: Financial Capacity of the Applicant
6. Form-6, Appendix-I: Particulars of Key Personnel
7. Form-8, Appendix-I: Abstract of Eligible Assignments of the Applicant
8. Form-9, Appendix-I: Abstract of Eligible Assignments of Key Personnel
9. Appendix-III: List of Bid-specific clauses

**B. Clauses and appendices with curly brackets**

1. Schedule 2: Form of Agreement: Clause 9.4.2: Arbitration

**C. Clauses and appendices with blank spaces**

1. Schedule 2: Form of Agreement: Recital and clause 6.1.2
2. Annex-7, Schedule 2: Bank Guarantee for Performance Security
3. Form-1, Appendix-I: Letter of Proposal
4. Form-2, Appendix-I: Particulars of the Applicant: Signature
5. Form-3, Appendix-I: Statement of Legal Capacity
6. Form-4, Appendix-I: Power of Attorney
7. Form-5, Appendix-I: Financial Capacity of the Applicant: Form of certificate from the Statutory Auditor
8. Form-12, Appendix-I: Curriculum Vitae (CV) of Key Personnel
9. Form-1, Appendix-II: Financial Proposal: Covering Letter
10. Form-2, Appendix-II: Financial Proposal: Item E, G and I

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<sup>5</sup> This Appendix-III contains a list of clauses and appendices that would need to be suitably modified for reflecting applicant-specific provisions. This Appendix-III may, therefore, be included in the RFP document to be issued to prospective Applicants. The blank spaces in Appendices may be filled up by the Applicant and the footnotes may be deleted when it submits its proposal.

**APPENDIX-IV**  
**LIST OF PROJECT-SPECIFIC CLAUSES<sup>22</sup>**

**A. Clauses and appendices with serially numbered footnotes**

1. Clause 1.1: Background (Footnote No. 1)
2. Clause 1.1.1: Background (Footnote No. 2 and 3)
3. Clause 2.1.4: Key Personnel (Footnote No. 4)
4. Clause 2.2.2 (B): Conditions of Eligibility of Applicants (Financial Capacity) (Footnote No. 5 and 6)
5. Clause 2.2.2 (D): Conditions of Eligibility of Applicants (Conditions of Eligibility for Key Personnel: (Footnote No. 7)
6. Clause 2.20.1: Bid Security (Footnote No. 8)
7. Clause 3.1.1: Evaluation of Technical Proposals (Footnote No. 9)
8. Clause 3.1.3: Evaluation of Technical Proposals, Item No. 1 (Footnote No. 10)
9. Clause 3.1.3: Evaluation of Technical Proposals, Item No. 3 (Footnote No. 11)
10. Clause 3.1.4 (i): Eligible Assignments: (Footnote No. 12 and 13)
11. Clause 3.1.4 (ii): Eligible Assignments: (Footnote No. 14)
12. Clause 3.1.4: Eligible Assignments: Provisos (Footnote No. 15 and 16)
13. Clause 3.4.1: Combined and Final Evaluation (Footnote No. 17)
14. Schedule 1: Terms of Reference (TOR) for technical consultant: Cover page (Footnote No. 18)
15. Schedule 2: Form of Agreement:
  - (a) Clause 3.5.2 (a): Insurance to be taken out by the Consultant (Footnote No. 19)
  - (b) Annex 6: Payment Schedule (Footnote No. 20 and 21)
16. Appendix IV : List of Project-specific clauses (Footnote No. 22)

**B. Clauses and appendices with square parenthesis**

1. Glossary: Consultancy Team, ESIA, ESMP, Feasibility Report or FR, Inception Report, Key Date or KD,
2. Clause 1.1.1: Background
3. Clause 1.1.2: Background
4. Clause 1.2: Request for Proposal
5. Clause 1.7.1: Currency conversion rate and payment

<sup>22</sup> This Appendix-IV contains a list of clauses and appendices that would need to be suitably modified, prior to issue of the RFP document, for reflecting project-specific provisions. This Appendix-IV should be omitted before issuing the RFP document to prospective Applicants.

6. Clause 1.8: Schedule of Selection Process
7. Clause 1.11.2: Communications
8. Clause 2.1.4: Key Personnel
9. Clause 2.2.2 (A): Technical Capacity
10. Clause 2.2.2 (B): Financial Capacity
11. Clause 2.2.2 (D): Conditions of Eligibility for Key Personnel
12. Clause 2.15.1: Financial Proposal
13. Clause 2.20.1: Bid Security
14. Clause 3.1.3: Evaluation of Technical Proposals
15. Clause 3.1.4: Eligible Assignments
16. Schedule 1: Terms of Reference: Clause 1.1, 1.3, 1.4, 3.1, 3.2 (Task 4,5 and 8), 3.4, 3.5, 3.6, 3.10, 3.11, 3.12, 3.14, 3.17, 3.18, 3.20, 3.21, 3.22 (a) and (b), 3.24, 3.25, 3.26, 3.27 4 C, D and F, 5, Table below Clause 6.2, clause 6.3, 7, 8.1, 8.2, 11.1
17. Schedule 2: Form of Agreement: Recitals, Clause 1.1.1(j), 1.7 (b), 2.4, 3.5.2 (a), 9.3 and Signature page
18. Annex 6, Schedule 2: Payment Schedule
19. Annex 7, Schedule 2: Bank Guarantee for Performance Security
20. Form-1, Appendix-I: Letter of Proposal
21. Form-6, Appendix-I: Particulars of Key Personnel
22. Form-8, Appendix-I: Abstract of Eligible Assignments of the Applicant
23. Form-10, Appendix-I: Eligible Assignments of Applicant
24. Form-11, Appendix-I: Eligible Assignments of Key Personnel
25. Form-2, Appendix-II: Financial Proposal, Item C VI

**C. Clauses and appendices with asterisk**

1. Clause 1.1.1: Background
2. Clause 1.4: Sale of RFP Document
3. Clause 1.9: Pre-Proposal visit to the Site and inspection of data
4. Clause 1.10: Pre-Proposal Conference
5. Clause 1.11: Communications
6. Clause 2.20.1: Bid Security
7. Clause 6.1: Miscellaneous
8. Schedule 1: Terms of reference: Cover Page and Clauses 1.1, 3.7, 3.25(a) and 4E
9. Schedule 2: Form of Agreement: Recital, Clause 1.1.1(j), 1.4, 1.7, 1.10.2, 1.10.3, 9.3 and 9.4.1
10. Annex 7, Schedule 2: Bank Guarantee for Performance Security

11. Form-1, Appendix-I: Letter of Proposal
12. Form-2, Appendix-I: Particulars of the Applicant: Signature
13. Form-3, Appendix-I: Statement of Legal Capacity
14. Form-4, Appendix-I: Power of Attorney
15. Form-1, Appendix-II: Financial Proposal, Covering Letter
16. Form-2, Appendix-II: Financial Proposal

