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**SARI/EI**



**IRADe** Integrated Research and  
Action for Development

## Request for Proposal (RFP)

for

**Developing the framework and guidelines for non-discriminatory open access regime in transmission and grant of open access to initiate power trading and facilitate Cross Border Electricity Trade (CBET) in the South Asian countries**



**South Asia Regional Initiative for Energy Integration  
(SARI/EI)**



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# REQUEST FOR PROPOSAL (RFP)

**RFP No.:** SARI/EI-2015-10

**Issue Date:** 28<sup>th</sup> July, 2016

**Closing date of RFP:** 19<sup>th</sup> August, 2016

**Study Title:** Request for proposal for developing the framework and guidelines for non-discriminatory open access regime in transmission and grant of open access to initiate power trading and facilitate Cross Border Electricity Trade (CBET) in the South Asian countries.

**Implementing Agency:** Integrated Research and Action for Development (IRADe)

**Funding Agency:** United States Agency for International Development (USAID)

IRADe is inviting prospective organizations through this **Request for Proposal (RFP) to submit their proposal for developing the framework guidelines for non-discriminatory open access regime in Transmission and Grant of Open Access in South Asian Countries (except India)**. This is an activity funded under the United States Agency for International Development (USAID) for South Asian Regional Initiative for Energy Integration through IRADe.

The following documents include: instructions for bidders; the Scope of Work (SoW) for the assignment; and information on proposal/bid particulars, including technical and financial selection criteria, and the copy of the contract.

Proposals/Bids are due on **19<sup>th</sup> Aug, 2016 by 1400 hrs.** Please send your proposal in hard copy to the following address:

*The Program Administrator,  
SARI/EI Project Secretariat  
B-44, Shivalik Road, Malviya Nagar,  
New Delhi-110017.*

## **REQUEST FOR PROPOSALS - INSTRUCTIONS FOR BIDDERS**

As this is a USAID-funded Program, the RFP follows USAID Procurement Regulations and Laws. All bidder details will be kept confidential.

Attached are the following documents to assist in the preparation and submission of a proposal:

Annexure I:	Scope of Work (SoW)
Annexure II:	Conditions of Proposal
Annexure III:	Proposal Delivery Instructions
Annexure IV:	Payment Schedule
Annexure V:	Proposal Submission Declaration
Annexure VI:	Technical Format for Organizational Experience
Annexure VII:	Technical Format for Personnel Details
Annexure VIII:	Financial Format for Cost of Assignment
Annexure IX:	Draft Contract

Any Proposal received by IRADe will be on the basis that all terms and conditions in this Proposal document and the briefing guidelines are understood and accepted by the bidder.

## ANNEXURE I: SCOPE OF WORK

### Terms of Reference/Scope of Work on developing the Model framework guidelines for non-discriminatory open access regime in Transmission and grant of open access in South Asian Countries (except India)

#### Background:

USAID initiated the SARI/EI program in 2000 aimed towards promoting energy security through energy cooperation and integration in the South Asian (SA) region. In its current fourth phase, the SARI/EI program, implemented by Integrated Research & Action for Development (IRADe) is focussed on advancing CBET through a consultative process involving three distinct Task Forces (TF) of member SA countries engaged in TF 1: Coordination of policies, legal and regulatory frameworks, ii. TF 2: Advancement of transmission system interconnections, and iii. TF 3: South Asia regional electricity markets.

This Terms of Reference (ToR)/Scope of Work (Sow) originates from the deliberations of TF 1: Coordination of policies, legal and regulatory frameworks, wherein CBET regulatory guidelines have been developed ([http://www.irade.org/IRADe-SARI-EI-Regional%20Regulatory-Guidelines%20\(July%202015\)-.pdf](http://www.irade.org/IRADe-SARI-EI-Regional%20Regulatory-Guidelines%20(July%202015)-.pdf)). The objective of the guidelines is to ensure a consistent, common course of action in the decision-making and conduct of CBET transactions in SA countries.

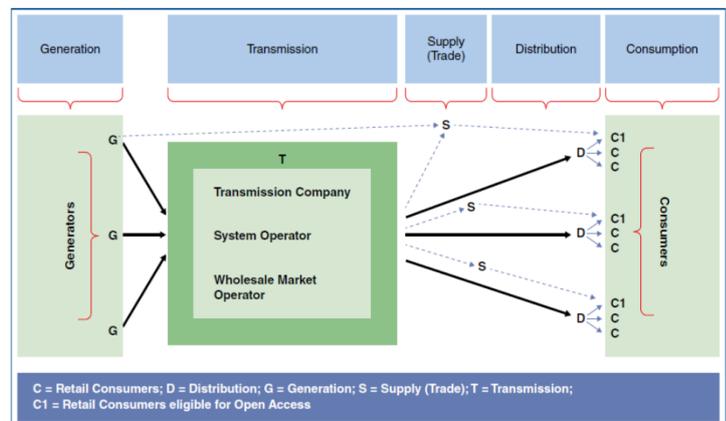


Figure 1: Operation of a Typical Electricity Market

This SoW/ToR aims to develop a model framework for non-discriminatory open access regime in transmission in South Asian countries, excluding India.

#### Regional Electricity Markets: Open Access:

The CBET regulatory guidelines developed by TF 1 recognizes the importance of Non-Discriminatory open access and its role for creating a Regional Power Market in South Asia. The summary of the guideline on Non-Discriminatory open access is mentioned in the Fig-1. Open access to the power grid is an essential element of introducing competition to electricity markets and increasing their efficiency. It is also key to free and fair electricity market and facilitates better integration of two or more power systems. In CBET, wherein power systems of more than one country are interconnected, non-discriminatory access to their respective transmission systems increases opportunities for any party to sell/buy electricity at a cost-reflective fee. Through open access, multiple sellers (generators) and buyers (supply or trading companies, distribution companies, and final consumers) interact in the market, relying on the services of the T&D grid. **Figure-2** below indicates market segments typically found in the electricity sector and their relation to open access. In an integrated market, open access provides multiple options to sellers/buyers, leading to a more efficient sector operation, improved quality of power supply, and downward pressure on tariffs. Open access has added benefits for CBET, allowing for multiple and diverse power supply contracts that take advantage of the load and time diversity and contribute to a better utilization of resources across the region. It thus encourages private sector/foreign investments. In CBET, non-discriminatory access to their respective transmission systems increases opportunities for any party to sell/buy electricity at a cost-reflective fee and to take advantage of the load and time diversity and contribute to better utilization of resources. Cross-border transmission interconnections with freedom of access is a critical instrument of integration of the

national electricity markets, or “market coupling (European Union). Open Access has been recognized through Protocols, Supplementary Acts (WAPP), Strategy Documents (GMS), Operational Manuals (SAPP).

### South Asian countries: Status and Readiness for Open Access:

The SAARC framework agreement for energy cooperation (electricity)-Article 12- Transmission Access notes that Member States shall, for the purpose of cross-border trade, enable non-discriminatory access to the respective transmission grids as per the applicable laws, rules, regulations and applicable inter-governmental bilateral trade agreements. The agreement between the government of Nepal and the government of the republic of India on electric power trade, cross-border transmission interconnection and grid connectivity, commonly referred as Power Trade Agreement (PTA) mentions “Article 2 (B) The Parties shall allow non-discriminatory access to the cross-border interconnection(s) for all authorized/licensed participants in the common electricity market “.

Currently, it is only in India, Bhutan, and Bangladesh that specific provisions related to open access exist, however comprehensive framework/guidelines/regulations exist only in India, whereas Afghanistan, Pakistan, Nepal, and Sri Lanka have not yet introduced open access. India through EA 2003 has mandated open access for inter- as well as intra-State transmission lines. Any consumer above 1 MW can avail open access to the transmission as well as the distribution network. The Regulatory Commissions (CERC and SERCs) provide a facilitative framework for non-discriminatory open access through enabling regulations.

In Bangladesh, the EA 1910 and subsequent draft amendment in 2012 requires the Bangladesh Electricity Regulatory Commission (BERC) to introduce, operate, and maintain an independent, fair, and competitive market structure for the bulk trading of electricity in the country and take necessary measures to facilitate a smooth transition from the single buyer system to the open market system in consultation with the Government of Bangladesh. While the Act mandates the transmission utility, Power Grid Corporation of Bangladesh (PGCB), to provide non-discriminatory open access to its transmission system for use by any licensee or generating company on payment of the transmission charges, it also directs the Commission to issue necessary regulations in order to ensure open non-discriminatory open access by all the concerned parties to the grid system in Bangladesh. Bangladesh-policy guidelines for enhancement of private participation in the power sector, 2008 mentions that PGCB and all Distribution Licensees shall provide non- discriminatory open access, to their transmission and/or distribution system for use by any Generation Licensee subject to payment of transmission/distribution wheeling charges determined by BERC.

In Bhutan, the EA 2001 mandates the Bhutan Electricity Authority to ensure non-discriminatory open access to the transmission and distribution systems.

## Task Force -1 Study : Regional Regulatory Guidelines

### Guideline 2: Provision of Non-discriminatory Open Access to Transmission Network

#### Rationale

Open Access makes it possible to sell or buy electricity, irrespective of location of buyer/seller in the grid; subject to transparently formulated system-security constraints without discrimination and against payment of adequate fees for accessing the system.

- 1 Member countries shall coordinate setting of fair rules and procedures for non-discriminatory open access. Notification of enabling regulations in respective SAC, by working along with the national regulators and/or other empowered entities
- 2 Explicitly defined through amendment of regulations or enactment of separate regulations/orders and eventually, in the long-term legislative enablement of open access
- 3 The enactment of various provisions/regulations inter alia shall include
  - Nominating nodal agency for grant open access- Responsible for undertaking scheduling and dispatch operation as well as processing of applications filed by the applicants
  - Procedure for filing applications, application fee- Customers shall have to apply to seek access on a format to be prescribed by nodal agency giving necessary details such as capacity required, point of injection, point of drawal, duration, type of service required, average load, peak
- 3 The enactment of various provisions/regulations inter alia shall include
  - Processing of applications, priority order and criteria for grant of access- The request for transmission access shall be processed by the nodal agency in a time bound manner taking into account line loading, voltage profile, system stability etc. and ensuring that the existing loads continued to be serviced with reasonable reliability. Subject to Available Transmission Capacity (ATC), the long-term customers shall have priority over short-term customers
  - Principles with regard to non-discriminatory and transparent charges for network use- The objective in the design of the open access charges should be to recover the sunk cost of the transmission system. Further, open access customers to compensate the nodal agency for scheduling, system control and dispatch services rendered by them.
- 4 Enabling provisions for the system operators in respective countries to coordinate scheduling and dispatching of cross border flows
- 5 Eventually, in the long-term legislative enablement of open access may be considered through inclusion of non-discriminatory open access provisions in the relevant laws.

Terms of Reference Model Framework Guidelines: Open Access/Regime in Transmission and Trading Licence for both Domestic as well as for CBET/Rail/SAR/EE/IR/ADe

Figure 2 -summary of the guideline on Non- Discriminatory open access

For CBET, India may need to extend its open access provisions in its Electricity Laws, Policy, and Regulatory framework beyond national boundaries and incorporate provisions on cross-border transactions. In an interconnected power system of South Asia with greater bilateral and multilateral trade being envisaged, it is essential that countries coordinate and formulate the relevant guidelines on open access to streamline the processes and facilitate non-discriminatory access to their respective transmission system.

Experience around the globe and in SA countries (India) suggests that opening access to the grid is an evolutionary process, not a discrete event. The basic foundations of open access are laid by establishing an initial, or minimal, open access regime through enforcing the generators' legal right to access the grid to sell their capacity and energy, and wholesale buyers' right to contract with the generators, either directly or through an authorized market operator. The institutional requirements for minimal open access include transparent rules, procedures, and protocols for grid and market operations and a financially disinterested, competitively neutral system operator. Therefore, introduction of open access should be carefully designed, keeping in view the power sector reform of each SA country and as well as keeping the perspective of cross Border Electricity Trade in south Asia.

#### **A. Objective of the Study:**

The objective of the study is to develop the model framework and guidelines for non-discriminatory open access regime in transmission and grant of open access in South Asian countries to initiate power trading and facilitate Cross Border Electricity Trade (CBET) in the region.

#### **B. Scope of Work (SoW)/Terms of Reference (ToR):**

1. Review and analyse the prevailing framework, regulations and procedures relating to open access to transmission systems in SA countries from the perspective of developing Model framework guidelines for non-discriminatory open access regime in Transmission<sup>1</sup> in SA Countries (other than India<sup>2</sup>) both for domestic as well as Cross Border Electricity Trade (CBET).
2. Review and analyse the prevailing institutional structure/arrangements for granting open access in SA countries.
3. Review and analyse the international best practices<sup>3</sup> (with particular focus on Indian<sup>4</sup> experience) on Open Access in transmission in the context of domestic power sector as well as from the perspective of CBET particularly focusing on:
  - a) Key drivers, enabling factors and barriers to open access in transmission.
  - b) Challenges associated with designing and implementation of Open Access in Transmission and key learnings.
  - c) Key ingredients/ prerequisite for open access in transmission particularly for cross border electricity trade.
  - d) Type of open access consumer licenses (long, medium and short term), eligibility, tenure, priority order, application process, nodal agency, conditions for grant of access, connectivity, relinquishment of access rights, information system and applicable charges etc. related to grant of open access.
4. Development of a proposed Model framework guidelines for non-discriminatory open access regime in Transmission and grant of open access, road map and action plan for the design and implementation of open access guidelines for SA countries to advance CBET. This would include but not be limited to:
  - a) Terms and Conditions, connectivity, eligibility, tenure, priority order, relinquishment of access rights, information system, applicable charges, nodal agencies,

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<sup>1</sup>Review and analysis should focus In Particular on overall open access architecture and regime, procedure, application process, type of open access consumer licenses, designated nodal agency, eligibility, tenure, priority order, conditions for grant of access, Connectivity, Relinquishment of access rights, information system and applicable charges and other key aspects of the grant of open access etc.

<sup>2</sup>However, for India, study will come out with Model framework guidelines for non-discriminatory open access regime, grant of Open Access and connectivity in Transmission for Cross Border Electricity Trade in SA region.

<sup>3</sup>Open Access regimes from Cross Border Power trade/regional power pool/markets around world other than SA region will be reviewed and analysed.

<sup>4</sup> While focus should be on Indian experience, however international review will also include experiences from Europe, SAAP, WAPP and from other similar regional power system integrations.

- b) Procedure for grant of open access and other key aspects of the grant of open access etc. (both for domestic and cross Border Electricity Trade).
  - c) The above Suggested model framework guidelines should also include various standard formats such as i) Application form ii) Grant of Connectivity Agreements iii) Grant of Long Term/Medium Term Open Access Agreements and other required formats.
5. Global experience as well as those in India suggests that opening access to the grid is an evolutionary process, not a discrete event and therefore model framework guidelines needs to be carefully designed, considering the existing level of power sector reform and readiness towards non-discriminatory open access as well as keeping the larger perspective of Cross Border Electricity Trade. It is therefore critical that views and suggestions of key stakeholders (e.g. regulators, transmission utilities, power companies, energy ministries, etc.) are taken into consideration. To this end the Consultant is expected to organize bilateral stakeholder consultation meetings/Con-call with such stakeholders/parties of South Asian Countries in consultation with SARI/EI/IRADe. The study will take into account the Cross Border Electricity Trade Policy being developed by MoP, GoI. and the various studies being undertaken by SARI/EI Task Forces. The study will also focus on technical aspects of the open access regime.

Any logistic cost for bilateral meetings outside India i.e. international travel/accommodation charges etc. will be borne by SARI/EI/IRADe. However, any logistic cost for bilateral meetings within India will be borne by the Consultant.

### C. Deliverables:

1. Submission of a draft report on key findings including the review and analysis of the prevailing practices in India and SA countries relating to open access regime, its governing & institutional arrangement etc. as emerged from the Scope of Work/Terms of Reference. This draft report will be submitted within 45 days from the date of issue of Letter of Intent (LOI).
2. Submission of draft interim report on the key findings on the review and analysis of the international experiences as emerged from the Scope of Work /Terms of Reference. This interim report will be submitted within 75 days from the date of issue of Letter of Intent (LOI).
3. Develop suggested draft Model Framework Guidelines for non-discriminatory open access regime and grant of open access in South Asian Countries for Long/Medium/Short term Open Access regime and connectivity in transmission both for domestic as well as for Cross Border electricity Trade covering the following but not limited to Terms and Conditions, connectivity, eligibility, tenure, priority order, relinquishment of access rights, information system, applicable charges, nodal agencies, Procedure for grant of open access and other key aspects of the grant of open access etc. (both for domestic and cross Border electricity Trade). The above Suggested model framework guidelines also includes various standard formats such as a) Application form b) Grant of Connectivity Agreements c) Grant of Long Term/Medium Term Open Access Agreements and other required formats. The above draft model framework will be submitted within 120 days (4 months) from the date of issue of Letter of Intent (LOI).

Submission and Acceptance of final report with suggested Model framework guidelines for non-discriminatory open access regime and grant of open access in South Asian Countries for Long/Medium/Short term Open Access regime and connectivity in transmission both for domestic as well as for Cross Border electricity Trade covering the following but not limited to terms and conditions, connectivity, eligibility, tenure, priority order, relinquishment of access rights, information system, applicable charges, nodal agencies, procedure for grant of open access and other key aspects of the grant of open access etc. (both for domestic and cross Border electricity Trade).

This report will be finalized after incorporating suggestions and inputs of various stakeholders such as Regulators, Transmission Utilities, Power Generation Companies, Power/Energy Ministries, Independent power procedures, TF Members, USAID, SARI/EI etc. The draft final report on model framework will be submitted within 180 days (6 months) from the date of issue of Letter of Intent (LOI).

- D. Time Line of the Study: 6 months from the date of issue of Letter of Intent (LOI).

## ANNEXURE II: CONDITIONS OF PROPOSAL/BID

### 1. Proposal Content

The proposal/bid must contain the following:

- a) A cover letter to the Proposal for the assignment
- b) A technical proposal
- c) A financial proposal

Technical Proposal and Financial Proposal should be submitted in separate envelopes indicating clearly in the envelopes "Technical Proposal" and "Financial Proposal." Both the sealed envelopes must be sealed in separate envelope superscripting **RFP No. SARI/EI- 2015-10**

#### 1.1 Cover Letter format

Cover letter to the proposal should contain the following information:

- Name, title, telephone number, and e-mail address of the person authorized to represent the contract.
- Name, title, telephone number, and e-mail address of the person to be contacted regarding the content of the tender, if different from above.
- Declaration that the bidder commits to the terms described in their tender and assumes responsibility for any pre-contract costs incurred during the bid and negotiation phases.
- A signature of this letter by a duly authorized representative of the company.

#### 1.2 Technical Proposal form

The bidder shall structure the operational and technical part of its proposal as follows:

##### (a) Management/Organization Experience

This section should provide organization orientation to include the year and state/country of incorporation and a brief description of the bidder's present activities. It should focus on services related to the Proposal.

This section should also describe the organizational unit(s) that will become responsible for the contract, and the general management approach towards a project of this kind. The bidder should comment on its experience in similar projects and identify the person(s) representing the Bidder in any future dealing with the procuring IRADe entity.

Further, in this section the bidder should explain the various projects that are being executed by the organization in the past three years. Please see **Annexure VI** for the format.

## **(b) Resource plan**

This should fully explain the bidder's resources in terms of personnel and facilities necessary for the performance of this requirement including key personnel identified. It should describe the bidder's current capabilities/facilities and any plans for their expansion. The bidder should submit the curriculum vitae of the key personnel who will work on this assignment in the format in **Annex VII**.

## **(c) Proposed methodology**

This section should demonstrate the bidder's responsiveness to the specification by identifying the specific components proposed, addressing the requirements, as specified, point by point; providing a detailed description of the essential performance characteristics; and demonstrating how the proposed methodology meets or exceeds the specifications. This would include making presentation of the methodology by the bidder.

The methodology should address all three parts of the project viz. related to the running of the pilot market, market rules and design and capacity building (training) parts.

The bidder may also include in their proposal any other activity that in their view may improve the execution of the project. The bidder may also propose any additional relevant deliverable that they are capable of delivering. If any additional amount is payable due to the above, the same may be separately mentioned in the Financial Proposal. However, the acceptance of the above shall be at the discretion of IRADe.

The technical part of the proposal should not contain any pricing information whatsoever on the services offered. Financial proposal is to be submitted in a separate sealed envelope.

It is mandatory that the bidder's proposal numbering system corresponds with the numbering system used in the body of this RFP. All references to descriptive material and brochures should be included in the appropriate response paragraph, though material/documents themselves may be provided as annexes to the RFP.

## **1.3 Financial Proposal**

The Financial Proposal should be submitted as per the attached format (Annexure VIII):

- The Lump sum fixed cost (quote) of the assignment
- Any amount of the nature of taxes, duty, levy, etc. should be mentioned separately and will be paid as per applicable rates as and when due.
- Confirmation of the payment schedule included (Annexure IV)

## 2. Proposal Assessment

### 2.1 Proposal Assessment Process

Proposal must comply with the requirements of the Scope of Work (SoW). Compliance with the SoW will be determined solely by IRADe.

Failure to submit a proposal including the information required as per the RFP will factor into IRADe's assessment of the level of compliance with the Request for Proposal and may result in rejection of the proposal.

The bidder may be requested to attend a pre bid meeting at his own cost. Only such bidders who have expressed interest or are deemed as prospective bidders shall be invited to the meeting.

2.2 IRADe will evaluate the technical proposals various parameters, the most important ones being the following criteria:

- Organizational experience of the firm in related assignment including relevant activities carried out and also experience in working South Asian region in particular in the area of power trading, power market regulations etc;
- Methodology/approach, Staffing Schedule, and time line;
- Qualification and experience of key personnel proposed to work in this assignment;

2.3 The firms who secure minimum 70% marks in the technical assessment, the financial proposal of only such firms shall be opened.

2.4 The technical and financial score shall be evaluated as per the following formula to ascertain the ranking of the firm:

$$(0.70 \times \text{Technical Score} + \text{LP/FP} \times 0.30)$$

LP is the lowest quoted price from among the bidders

FP is the quoted price of the bidder whose bid is being evaluated.

2.5 IRADe reserves the right to:

- a) Accept or reject any proposal, and to annul the proposal process thereby rejecting all proposal, at any time prior to the award of contract
- b) Cancel or vary the Request for Proposal process.
- c) Reject any proposal that does not adhere to the structure and content requirements as outlined in this Request for Proposal.
- d) Accept proposals for the whole or part of the requirement/assignment
- e) Negotiate with the most favourable bidder.
- f) Request for any additional certifications or clarification.

- 2.6 IRADe shall not be bound by any oral advice given or information furnished, but shall be bound only by written advice or information.
- 2.7 The conduct of this Request for Proposal shall not be construed in any way as a legally-binding agreement between IRADe and another Party or the acceptance of any liability by IRADe.
- 2.8 A proposal will not be considered in a case where the bidder or a representative of the bidder gives or offers anything to an employee or agent of IRADe as an inducement or reward, which could in any way tend to influence the actions of that employee or agent.

### **3. Acceptance of Proposals**

- 3.1 IRADe is not bound or required to accept the lowest priced proposal or any proposal.
- 3.2 A proposal will not be deemed to be accepted unless and until such time as a formal contract is negotiated and executed by both IRADe and the successful bidder.
- 3.3 IRADe reserves the right to enter into negotiation with any other bidder if contract negotiations cannot be concluded with the preferred bidder.

### **4. Lodgement of Proposals**

- 4.1 It is the responsibility of the bidder to ensure that the proposal is received at IRADe by the closing date and time prescribed in this Request for Proposal. A proposal lodged after the closing date is a late proposal and may be excluded from consideration at IRADe's sole discretion.
- 4.2 IRADe will not consider or entertain any queries about a decision to assess or reject a late Proposal.
- 4.3 Proposals are to be in English and all pricing and costs are to be in Indian Rupees.

### **5. Bidder Costs**

- 5.1 Bidders are responsible at their own cost for:
- a) Making all arrangements and obtaining and considering all information relating to the Terms of Reference.
  - b) The preparation, delivery and lodgement of their proposals
  - c) Costs associated with any issues that may arise, including disputes, related to the proposal process
  - d) Cost associated with attending a pre bid meeting in case such a meeting is held.

## **6. Confidentiality**

6.1 Bidders must keep any discussions or contact with IRADe in connection with the Invitation to proposal and any Contract negotiations, strictly confidential and shall not disclose such information to any third party.

## **7. Request for Information**

7.1 Any prospective bidder may within a reasonable time before the closing date request information on any point of clarification in this Request for Proposal. The information requested shall be given in writing by IRADe as soon as practicable, and where in the opinion of IRADe the information could have an effect on other bidders, that information shall be given in writing to all known prospective bidders.

## **8. Bidder Acceptance of Conditions**

8.1 A proposal lodged in response to this Request for Proposal does so with agreement to these Conditions of Proposal unless any departures from these Conditions are detailed in the proposal submission. IRADe reserves the right to reject or accept any departure from these Conditions of Proposal, and thereby determine that the proposal submission is non-conforming for that reason.

## ANNEXURE III: PROPOSAL DELIVERY INSTRUCTIONS

1. **Closing Time:** 1400 hrs, 19<sup>th</sup> August, 2016
2. **Contact Person:** Rohit Magotra
3. **Proposal Validity Period:** 60 days
4. **Format:** Hard copy of proposal submitted by Hand Delivery/Registered Post
5. **Delivery Address:** The Program Administrator,  
SARI/EI Project Secretariat  
B-44, Shivalik Road, Malviya Nagar,  
New Delhi-110017  
Tel:+91 11 26692714-16
6. **Email address:** r.magotra@irade.org

## Annexure IV: PAYMENT SCHEDULE

IRADe shall effect the payment to the bidder on successful completion and acceptance of deliverables to IRADe as per the following payment schedule:

S. No.	Completion of Deliverables as per Scope of Work (Annexure 1)	Due date of Submission of Deliverables / completion of activity. as per Scope of Work (Annexure 1)	Payment percentage
1	Completion of Deliverable No C (1):	Within 45 days from the date of issue of Letter of Intent (LOI).	15%
2	Completion of Deliverable No C (2):	Within 75 days from the date of issue of Letter of Intent (LOI).	25%
3	Completion of Deliverable No. C (3) Submission of Draft Model Framework	Within 120 days (4 months) from the date of issue of Letter of Intent (LOI).	25%
4	Completion of Deliverable No. C (4): Submission and Acceptance of final report with suggested Model framework guidelines for non-discriminatory open access regime and grant of open access in South Asian Countries for Long/Medium/Short term Open Access regime and connectivity in transmission both for domestic as well as for Cross Border Electricity Trade after incorporating suggestions and inputs of various stakeholders.	Within 180 days (6 months) from the date of issue of Letter of Intent (LOI).	35%
	Total		100%

## ANNEXURE V: PROPOSAL SUBMISSION DECLARATION

Dear Sir / Madam,

Having examined the Solicitation Documents, the receipt of which is hereby duly acknowledged, we, the undersigned, offer to provide Professional Consulting services (profession/activity for Project/programme/office) for the sum as may be ascertained in accordance with the financial proposal attached herewith and made part of this proposal.

We undertake, if our proposal is accepted, to commence and complete delivery of all services specified in the contract within the time frame stipulated.

We agree to abide by this proposal for a period of 60 days from the date fixed for opening of proposals in the Invitation for proposal, and it shall remain binding upon us and may be accepted at any time before the expiration of that period.

We understand that you are not bound to accept any proposal you may receive. Dated this day /month of year

**Signature**

(In the capacity of)

Duly authorised to sign Proposal for and on behalf of

**ANNEXURE VI: TECHNICAL FORMAT FOR ORGANIZATIONAL EXPERIENCE**

<b>S. No.</b>	<b>Name of the assignment</b>	<b>Client name</b>	<b>Duration</b>	<b>Value (INR)</b>	<b>Status: Ongoing/Completed</b>
1					
2					
3					
4					
5					
6					
7					
8					
9					
10.					

## ANNEXURE VII: TECHNICAL FORMAT FOR CURRICULUM VITAE

Please provide resume of individuals/expatriates/consultant details as per following format

- 1) Name of the Personnel
- 2) Nationality
- 3) Professional Area of expertise:
- 4) Academic Qualification (summarize college, university, specialized education etc. with degree and year of attainment)
- 5) Key qualification (training or other qualifications obtained pertinent to this project)
- 6) Details of experience in similar assignments:
- 7) Position held in the firm
- 8) Number of Years with the firm
- 9) Proposed position in team for this project
- 10) Experience Record (list positions with organizations and nature of duty).
- 11) Language proficiency

## ANNEXURE VIII: FINANCIAL PROPOSAL FORMAT

Dear Sir/Madam,

We hereby declare that the following costs outlined in the Terms of Reference for providing consultancy services. We further declare that these are FIRM (fixed) prices and shall remain unchanged for the entire period of consultancy/assignment.

<b>Item</b>	<b>Lump sum Fixed cost (INR)</b>	<b>Taxes/duties if any</b>	<b>Total Amount (INR)</b>
Scope of Work, Annexure 1			

We also confirm that the payment schedule as provided in the RFP is acceptable to us.

Signature:

Name:

Designation

Seal:

## ANNEXURE IX: DRAFT CONTRACT

This consultancy contract is made on this ---- day of ....., 2016 by and between:

Integrated Research and Action for Development, a fully autonomous advanced research institute a nongovernmental, not for profit organisation having its principal place of operation at C-80, Shivalik, Malviya Nagar, New Delhi – 110 017, India (hereinafter referred to as the “IRADe”);

and

(Name of the organisation) .....having its principal place of operation at..... (herein referred to as “Consultant”)

Here in after referred to as the ‘parties’.

Whereas:

1. The Consultant having the requisite expertise, in relation to the tasks referred in Terms of Reference (TOR) as provided in **Annexure 1**, agrees to provide professional services and would work in accordance with IRADe quality assurance procedures.
2. The contract will be effective from the date of signing of the contract shall be completed by and will be executed with dates as mentioned in the key deliverables of **Annexure 1**, unless terminated earlier in accordance with the provisions of the contract
3. The activity is being funded by the United States Agency for International Development (USAID).

#### 4. Consultancy cost

The all-inclusive lump sum consultancy cost for the assignment as per the scope of work shall be INR..... (Amount in words.....) inclusive of all taxes/duties, service tax etc.)

#### 5. Terms of payments

S. No.	Submission of Deliverables as per Scope of Work	Payment terms
1		

**6. Time Schedule**

The estimated time for completion of the activities is from the date of signing of this contract. The above time schedule is indicative and could be increased or decreased as may be required by IRADe.

- 7. At each stage of the work as desired by IRADe, the consultant would be required for interaction and attend review meetings/make presentations in IRADe/USAID at a time and place intimated by IRADe.
- 8. This contract will be governed by IRADe General Terms & Condition for Consultancy Contract as laid down in **Annexure 2**.
- 9. The bid submitted by the consultant and all the communication with respect to the **RFP No \_\_\_\_\_** between the two parties will be part of this contract.
- 10. All communication regarding this contract should be addressed to \_\_\_\_\_ who will manage this contract or the person designated by him.
- 11. In witness thereof, this contract is signed on \_\_\_\_\_

For and on behalf of **IRADe**

For and on behalf of **consultant**

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Date:

Date:

Name:

Name:

Designation:

Designation:

## APPENDIX 1: GENERAL TERMS AND CONDITION CONSULTANT AGREEMENT

This contract consists of the following **THIRTEEN ARTICLES**:

ARTICLE I	:	Definitions and Interpretations
ARTICLE II	:	General Conditions of Agreement
ARTICLE III	:	Payment
ARTICLE IV	:	Duration of Contract
ARTICLE V	:	Taxes/Duties/Service Tax
ARTICLE VI	:	Penalty for Late Submission of Deliverables
ARTICLE VII	:	Termination
ARTICLE VIII	:	Subcontracting
ARTICLE IX	:	Indemnification
ARTICLE X:		Law and Jurisdiction
ARTICLE XI:		Disputes
ARTICLE XII:		Funders Terms and Conditions
ARTICLE XIII:		Miscellaneous

### ARTICLE I: DEFINITIONS AND INTERPRETATIONS

#### DEFINITIONS

The following words and expressions shall have the meanings assigned to them except where the context otherwise requires:

AGREEMENT means the Agreement between IRADe and \_\_\_\_\_;

CONSULTANT means the party named in the Agreement.

SERVICES mean the professional services to be performed by the consultant in accordance with the Terms of Reference of the assignment.

*Force Majeure* shall mean war, civil commotion, fire, flood, riots, all natural calamities, action by any government or any event beyond the reasonable control of the party affected.

## ARTICLE II: GENERAL CONDITIONS OF AGREEMENT

1. Both parties hereby declare that they are fully empowered, authorised and competent to execute this agreement.
2. The consultant shall ensure that the services rendered are strictly in accordance with the standard prescribed in terms of the agreement entered into between IRADe and the consultant.
3. The consultant shall regularly apprise IRADe with respect to the progress of the services rendered and shall carry out such modifications as may be instructed by IRADe from time to time.
4. The consultant shall not be entitled to substitute personnel unless IRADe gives written consent to such substitution. IRADe shall not be liable to meet any costs arising from the replacement of such personnel.
5. Notwithstanding anything contained in this agreement, the relationship of IRADe and the consultant shall not be construed, as that of employer and employee and staff of the consultant shall at no time be considered as employee/s of IRADe.
6. The consultant shall be responsible for all acts of omission and commission of persons engaged by the Consultant whether or not in the course of performing the services and for the health safety and security of such persons and their property.
7. The terms/conditions/scope of this contract shall not be varied/altere d/modified until and unless mutually agreed by and between IRADe and the consultant and such modification shall be reduced to writing in the form of an amended contract.
8. Unless otherwise specified in the agreement between IRADe and the Client, consultant shall retain copyright of all documents prepared by the Consultant in relation to the services rendered.
9. The Consultant shall not engage in any activity which might conflict with the interest of IRADe under this agreement or the agreement of IRADe with Client.
10. The consultant shall not during or after the termination of the contract disclose to any third party any information arising from the contract, other than in the proper performance of their duties, except with the prior written permission of IRADe. The Consultant will be signing a Non-Disclosure Agreement (NDA) with IRADe in this regard.
11. The consultant shall exercise reasonable skill, care and diligence in the performance of his obligations under the agreement and shall act in accordance with the services as provided in Terms of Reference
12. The consultant shall not without the written consent of IRADe, in any way assign or transfer his/ her obligations under this agreement or any part thereof to anyone, failing which the contract may be rescinded by IRADe.
13. The consultant shall keep IRADe indemnified in respect of any loss or damage or claim howsoever arising out of negligence on the part of the consultant in relation to the performance or otherwise of the services to be provided under this contract.

### ARTICLE III: PAYMENT

1. IRADe shall pay to the consultant a fixed price for the services to be provided as per this agreement.
2. Payment will be authorized after completion, delivery, and acceptance by IRADe representative of all services, and scheduled deliverables stipulated herein. Payment will be made as soon thereafter as the regular course of business will allow based on the submission of the correct invoice.
3. The Consultant shall be paid according to the payment schedule as per this agreement.

### ARTICLE IV: DURATION OF THE CONTRACT

1. The agreement is deemed to commence on the date specified earlier. Any delay in the completion of the obligation on the part of the consultant shall entitle IRADe to terminate the agreement and deduct the amount of the consultant proportionate to the work remaining incomplete. The decision of IRADe in quantifying the amount of such deduction shall be final and binding.
2. Notwithstanding the above, the period of due performance of the obligation of the consultant may be extended by IRADe without deduction of any amount for the Consultant, if the delay is caused due to the lack of finances, delay in instructions, act of God or *Force Majeure*.

### ARTICLE V: TAXES/DUTIES/SERVICE TAX

1. Consultant is responsible to pay all taxes due to the local tax authority as a result of Services provided to IRADe.

### ARTICLE VI: PENALTY FOR LATE SUBMISSION OF DELIVERABLES

Deliverables must be submitted to IRADe his/her designee on the date agreed upon. Payments are subject to satisfactory submission of all deliverables. For non-excusable delayed deliverables without prior written agreement of IRADe representative, payment of any outstanding invoices will be withheld until satisfactory submission. Should the Consultant fail to submit deliverables as required under this agreement for more than 5 (five) business days past the deadline, IRADe shall withhold all payments associated with the outstanding deliverables and may exercise the termination clause as outlined in **Article VII. TERMINATION** of this contract

### ARTICLE VII: TERMINATION

IRADe shall have the option to terminate the contract in the event of termination of the **(Cooperative Agreement by the USAID)** for whatever reasons. In the event of such

termination, the Consultant shall be entitled to receive all supporting funds as described herein for those expenditures justifiably incurred to the time of termination of this purchase order, including commitments which cannot be reversed or mitigated, to the extent that said funds are available to IRADe under its **Cooperative Agreement**.

IRADe shall have the option to terminate this agreement in the event Consultant materially breaches any of the terms and conditions set forth herein. Consultant shall receive advance written notification of termination, a description of the nature of the breach and, if applicable, the opportunity to remedy or cure any such breach of terms as described below in **Article XI. DISPUTES**. In the event of termination, such right to terminate shall be IRADe sole remedy at law and equity. IRADe may require reimbursement of any expenses improperly incurred prior to termination in a sum not to exceed the total contracted amount.

The Consultant's entitlement to notice as set out above is without prejudice to IRADe's right to dismiss the Consultant summarily in the event of gross or serious misconduct by the Consultant. Examples of such misconduct include (but are not limited to) the commission by the Consultant of any fraudulent act or act of dishonesty, material breach by the Consultant of any of the terms of the purchase order, or conduct tending to bring the IRADe into disrepute.

Either party shall have the option to terminate the contract if either party fails to perform its obligations under this, and fails to cure any such material breach in performance within fifteen (15) days after written notification by the other party thereof.

In the event of termination of this contract the consultant shall, upon receipt of notification of termination, immediately stop work, minimize additional costs and shall not incur any further cost during the termination of performance hereunder

#### **ARTICLE VIII: SUBCONTRACTING**

Consultant should not subcontract any part of its activities described herein without the prior written consent of IRADe.

#### **ARTICLE IX: INDEMNIFICATION**

Each party shall mutually indemnify and hold one another harmless against losses, claims, liabilities, or damages (including costs, reasonable attorney's fees, and amounts actually paid in reasonable settlement thereof) that are sustained as a result of the negligent acts, errors, or omissions of the other party, its employees and agents, or for the improper performance or non-performance relating to activities hereunder. Indemnification under this paragraph shall be limited to the maximum amount payable under this agreement, except for losses, claims, liabilities or damages sustained in connection with an actual or alleged violation of law applicable to this agreement.

#### **ARTICLE X: LAW AND JURISDICTION**

1. This Agreement shall be governed by and construed in accordance with Indian Law.
2. This Agreement shall be subject to the jurisdiction of courts at New Delhi only.

## ARTICLE XI: DISPUTES

1. All disputes and/or differences and other questions in any way arising out of or relating to this Agreement, which cannot be settled amicably shall be referred to an arbitrator who shall be appointed by IRADe. The decision of the arbitrator shall be final and binding on both the parties.
2. It shall be incumbent on the party invoking arbitration to specify the dispute and/ or differences to be referred to arbitration under this clause together with the amount or amounts claimed in respect of each dispute.
3. The consultant shall continue to perform his duties with diligence notwithstanding the fact that a dispute has been referred to arbitration or any dispute or difference has arisen.
4. The venue of arbitration shall be New Delhi.
5. The arbitration shall be governed by the provisions of the “Arbitration and Conciliation Act 1996” as amended up to date or any statutory modification or re-enactment thereof for the time being in force or any rules made there under.

## ARTICLE XII: FUNDERS TERMS AND CONDITIONS

1. **Books, Records, and Accounts:** The consultant shall maintain books, records and accounts sufficient to demonstrate the incurrence, expenditure, and allowability of all costs charged to the agreement. USAID, or any of their duly authorized representatives shall have access to such books, records and accounts as are directly pertinent to the activities funded by the agreement. Consultant agrees that IRADe or USAID, shall have access to any books, documents, papers, and records of the Consultant that are directly pertinent to the services provided hereunder, for the purpose of making audits, examinations, excerpts, and transcriptions. These records shall be maintained for 3 (three) years unless written approval is requested by the c consultant and approval by IRADe is given in writing.
2. **Terrorist Financing:** U.S. Executive Orders and U.S. law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the consultant to ensure compliance with the Executive Orders and laws.
3. **USAID Standard Provisions:** As the Program of SARI/EI is being funded by USAID, the Standard Provisions of USAID will be applicable and binding for this contract.

### **ARTICLE XIII: MISCELLANEOUS**

1. This agreement shall not be modified or varied nor its provisions waived otherwise than in writing duly signed by both the parties hereto.
2. This agreement represents an integrated agreement between the parties hereto and supersedes all prior negotiations representations or agreements either oral or written.
3. The privity of the contracts in terms of this agreement shall be between IRADe and the consultant. The researchers/ specialists/ workers or any agency employed by the consultant shall have no privity of contract whatsoever with the IRADe.

The consultant will adhere to IRADe quality process and standards, and management systems while working on this contract, as guided by the Project Director, SARI/EI or person designated by him.