

Terms of reference (ToRs) for the procurement of services below the EU threshold

To develop an enhanced service portfolio for the selected SDAs and establish peer to peer learning activities	Project number/ cost centre: P.18.2256.8-001.00
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0. List of abbreviations

AVB	General Terms and Conditions of Contract (AVB) for supplying services and work 2018
BAT	Best Available Technology
BEE	Bureau of Energy Efficiency
BPT	Best Practise Technology
ToRs	Terms of reference
SME	Small and medium enterprises
EE	energy efficiency
IT	Information Technology
SDA	State Designated Agency

1. Context

GIZ is an international cooperation enterprise for sustainable development which operates worldwide, on a public benefit basis. GIZ is fully owned by the German Federal Government and implements development programs in partner countries on behalf of the German Government for achieving its development policy objectives.

The Federal Republic of Germany and the Government of the Republic of India have, under the Indo-German Technical Cooperation, agreed to jointly promote the “Indo-German Energy Programme” (IGEN) with the aim to promote energy efficiency/conservation, renewable energy, access to energy, etc. and in turn improve the environment/climate protection. The Energy Efficiency component of the IGEN (IGEN-EE) works in collaboration with the Bureau of Energy Efficiency, Ministry of Power for the implementation of the Energy Conservation Act (EC Act, 2001), focusing on energy efficiency and conservation.

A new project “Energy Efficiency in Industry and Data” is being commissioned by BMZ Germany. The main objectives of the project are:

- i. Capacity building of selected SDA's to promote energy efficiency in Non PAT industries
- ii. Providing Non-PAT secondary steel and pulp and paper industries with access to information on key energy efficiency processes and technologies
- iii. Institutionalization of peer to peer learning among SDAs and Non-PAT secondary steel and pulp and paper industry clusters
- iv. National Energy Efficiency dialogue for secondary steel and pulp and paper sector between policy makers, research institutions and business associations.

With this objective, the programme intends to support the state, primarily through their SDAs, in developing an enhanced service portfolio for the non-PAT industries on energy efficiency. The states already have some activities on energy efficiency in their current portfolio. This assignment will try to find more ways to enhance the existing portfolio along with adding new activities which could have wider impact. The success stories shall be shared with other SDAs along with handholding support and field visits.

The broad objectives of this ToR are:

- i. Development SDA service portfolio
- ii. Establish and support peer to peer learning activities

2. Tasks to be performed by the contractor

The contractor is responsible for providing the following services:

A. Need assessment of the selected State (four States) towards industrial sector

- i. Interaction with the SDA/ other Ministries/ departments to analyse the energy policy/ schemes in the state for industries and accordingly identify the barriers/ hold-ups in addressing them
- ii. To assess the mandate of the SDA/ other Ministries/ departments towards EE and understand the current scenario
- iii. To identify the challenges and gaps in uptake of EE technologies and practices in secondary steel and paper sectors in the selected states.
- iv. To clearly outline and prioritise the areas of intervention in promoting EE in the Non-PAT secondary steel / paper sectors in the state

B. Develop SDA service portfolio

- i. To identify up to 5 new services/ programmes/ schemes, as per the prioritised need assessment, that could be implemented in promoting EE in the Non-PAT secondary steel / paper sectors in the state
- ii. To develop business models/ operational guidelines for implementing the suggested schemes
- iii. To develop list of measures to strengthen/ address the barriers in implementation of existing programmes/ schemes of SDAs/ BEE
- iv. To support in preparation of 5-year and 10 year action plan clearly indicating the services to be offered by the SDA in promoting EE in the mentioned industrial sectors

C. Implementation and handholding

- i. To initiate the activities agreed by the SDA in the enhanced service portfolio
- ii. To liaise with other Ministries, institutions, organizations, Financial Institutions, vendors, etc. in successful implementation of the suggested business models.
- iii. To disseminate the knowledge of the enhanced service portfolio of the SDAs within the mentioned industry sectors through workshops. At least 2 workshops per state. The cost of workshops shall be borne by GIZ. However, all necessary coordination and arrangements shall be done by the bidder

D. Peer learning

- i. Develop a concept paper for disseminating the learning to other SDAs, including knowledge exchange formats
- ii. Handholding support to other SDAs (4 other SDAs) in replicating the services/ programmes (policy level and adaptation of business models/ operational guidelines)
- iii. Conduct of dissemination workshops. The cost of workshops shall be borne by GIZ. However, all necessary coordination and arrangements shall be done by the bidder
- iv. Organise field visits (at least 8) to best industries/ case studies in secondary steel and paper sectors. Related cost such visits shall be borne by GIZ. However, all necessary coordination and arrangements shall be done by the bidder

E. Monitoring and Evaluation

E.1. for SDA service portfolio

- i. To develop a concept paper for evaluation of the effectiveness of the services provided by the SDAs for the mentioned industrial sectors
- ii. To establish a baseline at the start of the project as per the agreed concept paper
- iii. To monitor and evaluate the effectiveness at the end of the project as per the agreed concept paper.

E.2. for peer to peer learning

- i. To develop a concept paper for evaluation of the effectiveness of the peer to peer learning
- ii. To establish a baseline at the start of the project/ activity as per the agreed concept paper
- iii. To monitor and evaluate the effectiveness at the end of the project/activity as per the agreed concept paper.

2.1. Timelines

Certain milestones, as laid out in the table below, are to be achieved by certain dates during the contract term:

Milestone	Deliverable	Deadline/place/person responsible
Inception meeting	Minutes of Inception meeting	Within 1 week of signing of contract
Draft Report on the need assessment	Draft report	Within 2 months of signing of contract
Report on the need	Final report	Within 3 months of signing of

assessment		contract
Draft paper on new schemes	Draft report	Within 4 months of signing of contract
Draft paper on enhancement of existing schemes	Draft report	Within 5 months of signing of contract
Final report on the service portfolio	Final report	Within 6 months of signing of contract
Monitoring plan	Monitoring plan approved	Within 6 months of signing of contract
Knowledge dissemination workshops	At least 5 field workshops are held	Within 12 months of signing of contract
Development of Peer learning formats	All formats in place	Within 15 months of signing of contract
Conduct of at field visits	At least 5 field visits are completed	Within 20 months of signing of contract
Final report on the effectiveness after monitoring and evaluation	Final report	Within 22 months of signing of contract

Period of assignment: From Aug 2021 until June 2023.

In addition to Inception meeting, monthly meetings or update calls (including minutes of meetings) are mandatory. In the inception meeting, the contractor is required to give a presentation on the approach, methodology, details on schedule and discuss the assignment with GIZ.

3. Concept

In the bid, the bidder is required to show how the objectives defined in Chapter 2 are to be achieved, if applicable under consideration of further specific method-related requirements (technical-methodological concept). In addition, the bidder must describe the project management system for service provision.

Technical-methodological concept

Strategy: The bidder is required to consider the tasks to be performed with reference to the objectives of the services put out to tender (see Chapter 1). Following this, the bidder presents and justifies the strategy with which it intends to provide the services for which it is responsible (see Chapter 2).

The bidder is required to present the actors relevant for the services for which it is responsible and describe the **cooperation** with them.

The bidder is required to present and explain its approach to **steering** the measures with the project partners and its contribution to the results-based monitoring system.

The bidder is required to describe the key **processes** for the services for which it is responsible and create a schedule that describes how the services according to Chapter 2

are to be provided. In particular, the bidder is required to describe the necessary work steps and, if applicable, take account of the milestones and contributions of other actors in accordance with Chapter 2.

The bidder is required to describe its contribution to knowledge management for the partner and GIZ and promote scaling-up effects (**learning and innovation**).

Project management of the contractor

The bidder is required to explain its approach for coordination with the GIZ project.

- The contractor is responsible for selecting, preparing, training and steering the experts (international and national, short and long term) assigned to perform the advisory tasks.
- The contractor makes available equipment and supplies (consumables) and assumes the associated operating and administrative costs.
- The contractor manages costs and expenditures, accounting processes and invoicing in line with the requirements of GIZ.
The contractor reports regularly to GIZ in accordance with the AVB of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH from 2018

The bidder is required to draw up a **personnel assignment plan** with explanatory notes that lists all the experts proposed in the bid; the plan includes information on assignment dates (duration and expert days) and locations of the individual members of the team complete with the allocation of work steps as set out in the schedule.

Details about backstopping

The bidder is required to describe its backstopping concept. The following services are part of the standard backstopping package, which (like ancillary personnel costs) must be factored into the fee schedules of the staff listed in the bid in accordance with section 5.4 of the AVB:

- Service-delivery control
- Managing adaptations to changing conditions
- Ensuring the flow of information between GIZ and field staff
- Contractor's responsibility for seconded personnel
- Process-oriented technical-conceptual steering of the consultancy inputs
- Securing the administrative conclusion of the project
- Ensuring compliance with reporting requirements
- Providing specialist support for the on-site team by staff at company headquarters
- Sharing the lessons learned by the contractor and leveraging the value of lessons learned on site

4. Criteria for Eligibility of firms

Commercial Eligibility Assessment

- Indian firms registered in India, please provide legal status of your firm
- Average annual turnover of the agency for the last three financial years: at least 100,000 Euros
- Number of employees of the agency for the previous year: at least 10

Technical Eligibility Assessment

The bidder shall have reference projects with a minimum commission value of 20,000 Euros

- At least 3 reference projects on industrial energy efficiency
- At least 1 project on development of business model/ action plan for any Govt organisation.

Technical Experience

- Minimum 10 years of experience in the field of energy efficiency in India
- Minimum 5 years of experience in development of business model/ action plan for any Govt organisation
- Minimum 3 years of experience in working with SDA/ projects involving SDA

Experience of Development Studies (ODA Financed)

- Minimum 5 years of experience in Development project, with at least 1 project related to energy efficiency

4A. Personnel concept

The bidder is required to provide personnel who are suited to filling the positions described, on the basis of their CVs (see Chapter 7), the range of tasks involved and the required qualifications.

The below specified qualifications represent the requirements to reach the maximum number of points.

Team leader

Tasks of the team leader

- Overall responsibility for the advisory packages of the contractor (quality and deadlines)
- Discussions with SDA, other Ministries/ departments, institutions, organizations, Financial Institutions, vendors, etc.
- Coordinating and ensuring communication with GIZ, partners and others involved in the project
- Personnel management, in particular identifying the need for short-term assignments within the available budget, as well as planning and steering assignments and supporting local and international short-term experts
- Regular reporting in accordance with deadlines

Qualifications of the team leader

- Education/training (2.1.1): Master's in engineering/Technology/Management or equivalent
- Language (2.1.2): Good business language skills in English and Hindi
- General professional experience (2.1.3): 15 years of professional experience in energy efficiency
- Specific professional experience (2.1.4): 7 years in the field of SME sector

- Leadership/management experience (2.1.5): 7 years of management/leadership experience as project team leader
- Regional experience (2.1.6): 10 years of experience in projects in Asia Pacific region, of which 7 years in projects in India country
- Development Cooperation (DC) experience (2.1.7): 5 years of experience in ODA projects
- Other (2.1.8): At least one project on development of business model.

Expert 1

Tasks of expert 1

- Coordinate with SDA, other Ministries/ departments, institutions, organizations, Financial Institutions, vendors, etc for conducting meetings, obtaining information/ documents, etc.
- Preparation of reports/ formats, etc
- Preparation and execution of other concept papers and activities as mentioned in chapter 2 of this ToRs

Qualifications of sector expert

- Education/training (2.2.1): Bachelor's in engineering/Technology
- Language (2.2.2): English and Hindi
- General professional experience (2.2.3): 7 years of professional experience in energy efficiency
- Specific professional experience (2.2.4): 5 years of experience in SME sector/ policy/ planning
- Regional experience (2.2.6): 5 years of experience in projects in Asia Pacific region, of which at least 3 years in projects in India country
- Other (2.2.8): At least one project on SDA

Expert 2

Tasks of expert 2

- Coordinate with SDA, other Ministries/ departments, institutions, organizations, Financial Institutions, vendors, etc for conducting meetings, obtaining information/ documents, etc.
- Preparation of reports/ formats, etc
- Preparation and execution of other concept papers and activities as mentioned in chapter 2 of this ToRs

Qualifications of sector expert

- Education/training (2.3.1): Bachelor's in engineering/Technology
- Language (2.3.2): English and Hindi
- General professional experience (2.3.3): 7 years of professional experience in energy efficiency
- Specific professional experience (2.3.4): 5 years of experience in SME sector/ policy/ planning
- Regional experience (2.3.6): 5 years of experience in projects in Asia Pacific region, of which at least 3 years in projects in India country
- Other (2.3.8): At least one project on SDA

Expert 3

Tasks of expert 3

- Preparation of reports/ formats, etc.
- Support the team in coordination with relevant actors.
- Preparation and updating of project schedules
- Support the team in logistics
- Support the team in preparation and execution of other concept papers and activities as mentioned in chapter 2 of this ToRs

Qualifications of sector expert

- Education/training (2.4.1): Bachelor's in engineering/Technology
- Language (2.4.2): English and Hindi
- General professional experience (2.4.3): 5 years of professional experience in energy efficiency
- Specific professional experience (2.4.4): 5 years of experience in report writing, preparation of project schedules, etc.

5. Costing requirements

Assignment of personnel

The assessment of required man-days is listed below:

Personnel	No of person days
Project Lead	140
Expert 1	108
Expert 2	108
Expert 3	44
Total person days	400

Travel

Travel to the selected states/ UTs, especially to SDA, other relevant ministries/ departments is envisaged.

Specific Conditions pertain to COVID- 19 Measures

The specific conditions pertain to COVID- 19 measures are integral part of contract and shall act as binding document under special agreement and interpreted along with GTCC.

In addition to the provisions as detailed in **clause 09** of The General Terms of Contract governing the delivery of works and services commissioned by **Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH (local)**, the Consultant confirms that he/she accepts the Consulting engagement with full knowledge and understanding of the travel and other requirements of the engagement including specifically the need, on the part of the Consultant, to take all required precautions (including prevention and risk mitigation

measures) against the risks arising from the ongoing Novel Corona Virus (COVID - 19) Pandemic

The Consultant shall provide to the GIZ an RT-PCR Negative Test Report for Novel Corona Virus (COVID - 19) prior to starting the Consulting Engagement and shall always additionally comply with the following in the course of the Consulting Engagement:

1. Obtain Medical and other Insurance Cover in respect of the Novel Corona Virus (COVID - 19) Infection/Disease and consequences thereof – (GIZ will reimburse the insurance cover up to 5000 Indian Rupees)
2. Strictly follow and comply with the prescribed Mask, Hand Washing/Sanitization and Social Distancing Protocols.
3. Take safe and secure mode of transportation.
4. Observe all local restrictions/precautions as applicable for the specific areas of travel covered by the Consulting Engagement.
5. If eligible, get vaccinated against the Novel Corona Virus (COVID - 19).
6. Install and maintain as active at all times the Government of India's Arogya Setu App.
7. If exposed to any active case of Novel Corona Virus (COVID - 19) to take all steps as advised by the Government of India's advisories in such case.
8. If feeling unwell and experiencing any of the symptoms of Novel Corona Virus (COVID - 19) infection - to take all steps as advised by the Government of India's advisories in such cases including but not limited to getting an RT-PCR Test for Novel Corona Virus (COVID - 19), self- isolation, notifying the GIZ and also the concerned local Novel Corona Virus (COVID - 19) isolation/treatment facility.
9. Other compliance as may be notified by the GIZ and the Government of India from time to time in relation to Novel Corona Virus (COVID- 19) infection/disease.

Furthermore, The Consultant accepts the Consulting Engagement on a best and informed judgement basis with full knowledge of the tasks to be performed, the place of performance and the precautions and safeguards to be reasonably taken by the Consultant to mitigate all types of risks associated with the said Consulting Engagement. The Consultant undertakes the Consulting Engagement at his/her own risk and responsibility and shall not, under any circumstances, and at any time, be entitled to assert any liability or other claims whatsoever against the GIZ, its Management, Officers and Employees for any consequences or risks or harm that may arise to the Consultant in the course of or as a consequence of undertaking the Consulting Engagement or any actions or consequences arising in relation to such Consulting Engagement.

6. Inputs of GIZ or other actors

All the work shall be carried out by the consultant. BEE/GIZ may provide an introduction letter to the consultant to facilitate appointments with SDAs/ other Govt. bodies.

7. Requirements on the format of the bid

The structure of the bid must correspond to the structure of the ToRs. In particular, the detailed structure of the concept (Chapter 3) is to be organised in accordance with the positively weighted criteria in the assessment grid (not with zero). It must be legible (font size 11 or larger) and clearly formulated. The bid is drawn up in English.

The complete bid shall not exceed 30 pages (excluding CVs & other supporting company documents)

The CVs of the personnel proposed in accordance with Chapter 4 of the ToRs. The individual CVs shall not exceed **4** pages. The CVs must clearly show the position and job the proposed person held in the reference project and for how long. The CVs should be submitted in English (language) only.

If one of the maximum page lengths is exceeded, the content appearing after the cut-off point will not be included in the assessment.

Please calculate your price bid based on the aforementioned costing requirements. In the contract, the contractor has no claims to fully exhaust the days/travel/budgets. The number of day/travel and the budget amount shall be agreed in the contract as “up to” amounts. The specifications for pricing are defined in the price schedule.