



**Request for proposal for developing a Strategy/White Paper on  
Creating Regional Technical Institutional Mechanism i.e. South Asian  
Forum of System Operators (SAFSO) in South Asia Region for  
Promoting Cross Border Electricity Trade (CBET)**

**RFP No.: IRADe/SARI/2019-20/09**

December 11, 2019



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

Integrated Research and Action for Development (IRADe)

B-44, Shivalik Road, Malviya Nagar, New Delhi-110017

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[www.sari-energy.org](http://www.sari-energy.org)

## Terms of Reference

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## Abbreviations

|           |  |
|-----------|--|
| BIMSTEC   | Bay of Bengal Initiative for Multi-Sectoral Technical and Economic Cooperation |
| BIST-EC   | Bangladesh, India, Sri Lanka, and Thailand Economic Cooperation                |
| INR       | Indian Rupees  |
| IRADe     | Integrated Research and Action for Development                                 |
| SAARC     | South Asian Association for Regional Cooperation                               |
| SAARC CCI | SAARC Chamber of Commerce and Industry   |
| SAFIR     | South Asia Forum for Infrastructure Regulation                                 |
| SAFSO     | South Asia Forum of System Operators   |
| SAFTU     | South Asia Forum of Transmission Utilities                                     |
| SARI/EI   | South Asia Regional Initiative for Energy Integration                          |
| SARPEX    | South Asia Regional Power Exchange   |
| ToR       | Terms of Reference   |
| USAID     | United States Agency for International Development                             |

## 1. Introduction

|                      |   |
|----------------------|---|
| RFP No.:             | <b>IRADe/SARI/2019-20/09</b>  |
| Issue Date:          | 11th December 2019  |
| Closing date:        | 10th January 2020   |
| Assignment:          | Request for Proposal for developing a Strategy/White Paper on Creating Regional Technical Institutional Mechanism i.e. South Asian Forum of System Operators (SAFSO) in South Asia Region for Promoting Cross Border Electricity Trade (CBET) |
| 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 for developing a Strategy/White Paper on Creating Regional Technical Institutional Mechanism i.e. South Asian Forum of System Operators (SAFSO) in South Asia Region for Promoting Cross Border Electricity Trade (CBET). 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 document includes: instructions for bidders; the Terms of Reference for the assignment; and information on bid/bid particulars, including technical and financial selection criteria, and the copy of the draft contract.

**Bids are due on 10th January 2020 by 1500 hrs.** Please send your bid in hard copy to the following address:

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

## 2. Instructions for Bidders

SARI/EI is a USAID-funded Program, therefore, the RFP follows USAID Procurement Regulations and Laws. All bidder details will be kept confidential. Bidders are expected to examine carefully and comply with all instructions, forms, and contract provisions contained in these Bidding Documents.

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

|                            |  |
|----------------------------|--|
| <a href="#">Annex I:</a>   | Bid Submission Declaration                               |
| <a href="#">Annex II:</a>  | Technical Format for Organizational Experience           |
| <a href="#">Annex III:</a> | Technical Format for Personnel Details                   |
| <a href="#">Annex IV:</a>  | Staffing Schedule  |
| <a href="#">Annex V:</a>   | Financial Format for Cost of Assignment                  |
| <a href="#">Annex VI:</a>  | Draft Contract   |
| <a href="#">Annex VII:</a> | General Terms and Conditions of the Consultant Agreement |

It shall be assumed for any bid received by IRADe under this RFP, the bidder, has understood and accepted all terms and conditions and guidelines mentioned in this Bid document.

### 3. Terms of Reference/ Scope of Work

#### 3.1. BACKGROUND OF SARI/EI

South Asian Regional Initiative for Energy (SARI/E) is a long-standing program of USAID started in the year 2000. The program covers eight countries of the region i.e. Afghanistan, Bangladesh, Bhutan, India, the Maldives, Nepal, Pakistan, and Sri Lanka. The program has consistently strived for enhancing energy security of South Asian nations. The SARI/E program of USAID entered its fourth phase in 2012 as South Asia Regional Initiative for Energy Integration (SARI/EI) and will continue till 2022. The SARI/EI program aims to promote regional energy integration through increased Cross Border Electricity Trade (CBET) in the South Asian Countries (SACs). The overall objective of SARI/EI is to create the right “enabling” environment to support the establishment of a South Asian electricity market, and gain consensus and support from the key decision makers and stakeholders. SARI/EI program focuses on three developmental outcomes i.e. Coordination of Policy, Legal and Regulatory Framework; Advancement of Transmission Systems Interconnection; and establishment of South Asia Regional Electricity Market. To achieve these outcomes, three dedicated Task Forces (TFs) have been constituted under the program, with representations from nominated members from South Asian Country governments (Energy/Power Ministries), Electricity Regulatory Commissions, Planning Authorities, National Power Transmission utilities, Power Market Institutions etc. A high-level Project Steering Committee with representation from the senior Government officials from each country provide oversight and guidance to the program. Integrated Research and Action for Development (IRADe) is the implementing partner for the fourth phase (2012-2022) of the SARI/EI program through a cooperative agreement with USAID.

##### 3.1.1. Back ground of South Asian Forum of System Operators (SAFSO)

System Operator is responsible for safe, secure and reliable operation of power grids in each country. When the grids of two or more countries get integrated, the System Operators of these countries would have to work in close coordination with each other to maintain the security of the integrated grid, especially with power markets playing a role. As Cross Border Electricity Trade (CBET) increases with increased number of interconnections and advancement of market operations, it is desirable to have an Institutional Mechanism (such as South Asian Forum of System Operators (SAFSO)) in the South Asia region to facilitate coordinated system and market operation for cross border trade of electricity.

##### 3.1.2. Scope of work: Strategy Paper on “South Asian Forum of System Operator (SAFSO)”

The proposed SAFSO aims to be a neutral entity in the form of an Institution or Body or Association, that will function in a spirit of cooperation and collaboration. The SASFO aims to do the following from the perspective of cross border electricity trade:-

- Promote safe, reliable, efficient and economic system operation,

- Facilitate the work of development and implementation of common procedures/guidelines and frameworks for system operation and market operation
- Promote technological excellence and harmonization of practices ;
- Promote compliance to reliability standards;
- Facilitate development of power market, ancillary services market in power system
- Promote capacity building in power system/market operation;
- Promote development of a Code of Ethics for Load Despatchers in South Asia;
- Provide inputs/advice to the national regulatory agencies and provide technical support and assistance to Regional Regulatory Institutional mechanism and Regulators of SA countries on the matters related to system and market operation;
- Act as a Secretariat to the various technical Groups/Committees formed under SAFSO;
- Promote Knowledge exchange within system operators in South Asian Countries;
- To promote technical cooperation, knowledge creation, frequent interaction, active consultation & collaboration, mutual respect, cooperation, consensus building, international bench-marking and promoting ethical, non-discriminatory and fair system and market practices in South Asian Countries.

The scope of work of the consultant in respect of creating above regional institutional mechanism, in the form of SAFSO shall include the following:

1. Carry out a detailed “As is” review and analysis on hierarchical structures, organizational set-ups and prevailing practices related to system operation and market operation in the different South Asian Countries (SACs), including the composition of generation resources, load entities, categories/ type of agreements between the generation and load entities and the settlement mechanism.
2. Carry out a detailed background study on the creation of “South Asian Forum of System Operators (SAFSO)” in order to facilitate coordinated system operation and market operation from the perspective of accelerating CBET in a sustainable manner through a consultative process with all relevant stakeholders.
3. Conduct a critical review and analysis the relevant international experiences such as ENTSO-E of Europe, Southern African Power Pool, West Africa Power Pool, Gulf Cooperation Council Interconnection Authority (GCCIA)) as well as the mechanism within the South Asian region, for e.g. in India for coordination between the State, Regional and National System Operator such as the Forum of Load Despatchers (FOLD) etc. for formation of a similar Regional Technical Institution/Body/Association etc. for coordinated system operation and market operation from the perspective of CBET in the region.

4. Analyze the existing Regional forums/institutional mechanisms, if any, in South Asian Region and their role, responsibilities, structure, function etc. such as SAFIR, SAARC, BIMSTEC etc. from the perspective of the proposed SAFSO.
5. Based on the above assessment and the best practices, suggest a suitable Regional Technical Institution or Body or Association in South Asia Region i.e. SAFSO including its role, functions, operating structure (including working groups, expert committee etc.) and legal status towards assisting coordinated system and market operation etc. in the region SAFSO by taking in account the aims of the SAFSO as explained in the beginning of Para C. The analysis must also include the suggestions on a formal or informal structure and its pros and cons, and which institution is best suited to in-house SAFSO or become the secretariat for SAFSO including the hand holding & Technical Assistance and Support that can be provided by SARI/EI during its initial years of SAFSO.
6. Provide technical support and present the proposed draft structure of SASFO in the Task Force meeting and South Asia Regional System Operators Workshop, to be organized by SARI/EI secretariat for detailed consultation and to seek views of system operators etc. on the study findings. Meetings with the concerned stakeholders in South Asian countries outside India, may also be required. For all meetings outside India or for Workshop outside India, IRADe will bear the logistic cost i.e. international travel and stay charges of the consultant (one member). Monthly meetings are proposed to be held with the consultant at the SARI/EI Project Secretariat. However, any logistic cost for meetings at IRADe as well as the meetings of the consultant within India with stakeholders, will be borne by the Consultant.
7. Based on findings and outcomes of various analysis carried out in C1 to C6, develop a detailed strategy along with the details on the function, structure, mode of operation and creation of the SAFSO by taking in account the aims of the SAFSO as explained in the beginning of Para C.
8. Suggest a detailed Road map and along with action plan for implementation and Rolling out of SAFSO.
9. Based on C1 to C8, Put up a strategy paper to SARI/EI Project Secretariat in the form of a report. The Strategy paper should reflect the nuances, opinions and suggestions of the concerned parties/stakeholders, along with the final recommendations, process of developing consensus towards addressing differences, while building upon areas of unanimity with a view to achieve the aims of SAFSO as explained in the beginning of Para C. The strategy paper should also cover in good details in a comprehensive manner that, how the different objectives listed at the beginning of Para C – ‘Scope of Work’ are going to be taken up and promoted/facilitated by the proposed Institution or Body or Association i.e. SAFSO.



### 3.2. Deliverables

1. Draft report covering the analysis and key findings within 60 days from the date of signing of contract.
2. Interim report incorporating the key findings of the South Asia Regional System Operators Workshop and suggestion made during Meetings with the concerned stakeholders in South Asian countries within 120 days from date of signing of contract.
3. Final Report covering details as per the above scope of work within 180 days from date of signing of contract.

### 3.3. Time Line of the Study

Six months from the date of award.

## 4. Conditions of Bid

### 4.1. Bid Content

1. The bid must contain the following:
  - a) A cover letter to the Bid for the assignment
  - b) A technical bid with a Soft Copy in a CD
  - c) A financial bid with a Soft Copy in a CD
2. Technical Bid and Financial Bid 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. IRADe/SARI/2019-20/09 - Request for proposal for developing a Strategy/White Paper on Creating Regional Technical Institutional Mechanism i.e. South Asian Forum of System Operators (SAFSO) in South Asia Region for Promoting Cross Border Electricity Trade (CBET)**

#### 4.1.1. Cover Letter format

Cover letter to the bid should include the following information:

- i. Name, title, telephone number, and e-mail address of the person authorized to represent the bidder.
- ii. Declaration that the bidder accepts the terms described in their tender and assumes responsibility for any pre-contract costs incurred during the bid and negotiation phases.
- iii. A signature of this letter by a duly authorized representative of the company.

#### 4.1.2. Technical Bid form

The bidder shall structure the technical part of its bids as follows:

##### 1. Management/Organization Experience

- a. This section should provide organization details 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 Bid.
- b. The bidder should provide its Experience in similar projects. Further, in this section the bidder should give details of various projects that are successfully completed/being executed by the organization in the past three years. Please see [Annex II](#) for the format.
- c. Detailed project data sheets should be provided of the projects mentioned in the experience section

##### 2. Resource Plan

- a. 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. The bidder should submit the curriculum vitae of the key

personnel who will work on this assignment in the format in [Annex III](#)

- b. A staffing schedule should be part of the resource plan section wherein the number of days a personnel will be working on the project should be mentioned. A format of the staffing schedule is placed in [Annex IV](#)
- c. If an external consultant is hired, scanned Letter of Association agreeing to devote the substantial number of mandays in the assignment.
- d. The Qualifications with specialization should be mentioned for all personnel working on the project.

### **3. Proposed Methodology**

- a. This section should demonstrate the bidder's responsiveness to the scope of work 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 deliverables mentioned in the ToR. This would include **making presentation of the methodology** by the bidder.
- b. A detailed list of the activities planned should form a part of the timeline of the proposal.
- c. The technical part of the Bid should not contain any pricing information whatsoever on the services offered. **Financial bid is to be submitted in a separate sealed envelope.**
- d. It is mandatory that the bidder's Bid 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.

#### **4.1.3. Financial Bid**

The Financial Bid should be submitted as per the attached format ([Annex V](#)):

- a. It should be a Lump sum fixed cost (quote) of the assignment
- b. 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.
- c. Confirmation of the payment schedule included as mentioned in 4.4

#### **4.2. Bid Assessment**

##### **4.2.1. Bid Assessment Process**

1. The bid must comply with the requirements of the Scope of Work (SoW).
2. 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.

3. IRADe will evaluate the technical bids based on various parameters, the most important ones being the following:
  - a. Organizational experience of the firm in related assignments in the area of
    - i. Integration of regional/cross country power system.
    - ii. Power System Regulations, Grid Discipline and Grid Management;
    - iii. Transmission Charges, Losses, Energy Accounting and Imbalance settlement
    - iv. Power Market Operation.
    - v. Transmission System Planning and Integrated System Operation.
    - vi. Grid Codes and Power System Standards from the perspective of Integrated grid and System Operations
    - vii. Policy, Legal, Technical and Operational aspects of Regional/Cross Country Power System Integration and Cross Border Power Trading.
    - viii. Experience of working the process of development Relevant Regional Technical Institutions
    - ix. System Operation Related Training and Capacity Building for Regional Institutions.
    - x. Experience of working South Asian Countries
  - b. Methodology/approach, Staffing Schedule and timeline; Qualification and experience of key personnel proposed to work in this assignment;
4. The technical and financial score shall be evaluated as per the following formula to ascertain the ranking of the firm:
 
$$\{\text{Technical Score} \times 0.70 + (\text{LP/FP} \times 100) \times 0.30\}$$

LP is the lowest quoted price from among the bidders  
 FP is the quoted price of the bidder whose bid is being evaluated
5. The technical proposal will be evaluated based on the below mentioned parameters:
 

|   |     |
|---|-----|
| a. The Consultant's/Organisation's relevant experience for the assignment                                     | 25% |
| b. Understanding of the issues and approach to be followed  | 10% |
| c. The qualifications and experience of the key staff (who would actually be working on the project) proposed | 40% |
| d. Quality of presentation made before Technical Evaluation Committee   | 25% |
6. Bidders will be invited to make technical proposal presentation anytime after submitting of bids.
7. The firms who secure minimum **70%** marks in the technical assessment, the financial bid of only such firms shall be opened.
8. IRADe reserves the right to:
  - i. Accept or reject any bid, and to annul the bid process thereby rejecting all bid,

- at any time prior to the award of contract
- ii. Cancel or vary the Request for Bid process.
  - iii. Reject any bid that does not adhere to the structure and content requirements as outlined in this Request for Bid.
  - iv. Accept bids for the whole or part of the requirement/assignment
  - v. Negotiate with the most favorable bidder. Request for any additional certifications or clarification.
9. IRADe shall not be bound by any oral advice given or information furnished but shall be bound only by written advice or information.
10. The conduct of this Request for Bid 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.
11. A bid 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.

#### **4.2.2. Acceptance of Bids**

1. IRADe is not bound or required to accept the lowest priced bid or any bid.
2. A bid 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. IRADe reserves the right to enter into negotiation with any other bidder if contract negotiations cannot be concluded with the preferred bidder.

#### **4.2.3. Lodgment of Bids**

1. It is the responsibility of the bidder to ensure that the bid is received at IRADe by the closing date and time prescribed in this Request for Bid. A bid lodged after the closing date and time is a late bid and may be excluded from consideration at IRADe's sole discretion.
2. IRADe will not consider or entertain any queries about a decision to assess or reject a late Bid.
3. Bids are to be in English and all financial bids and costs are to be in Indian Rupees.

#### **4.2.4. Bidder Costs**

Bidders are responsible at their own cost for:

1. Making all arrangements and obtaining and considering all information relating to the Terms of Reference.
2. The preparation, delivery and lodgment of their bids
3. Costs associated with any issues that may arise, including disputes, related to the bid process

4. Cost associated with attending a pre bid meeting in case such a meeting is held.

#### 4.2.5. Confidentiality

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

#### 4.2.6. Request for Information

Any prospective bidder may within a reasonable time, before the closing date request for clarification on any point of clarification in this Request for Bid. 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 the other bidders.

#### 4.2.7. Bidder Acceptance of Conditions

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

### 4.3. Bid Delivery Instructions

|                                    |   |
|------------------------------------|---|
| <b>Closing Time:</b>               | 1500 Hrs, 10 <sup>th</sup> January 2020   |
| <b>Contact Person:</b>             | Phalguni Dasgupta   |
| <b>Bid Validity Period</b>         | 60 days   |
| <b>Delivery Address:</b>           | Hard copy and soft copy in <b>CD</b> of bid to be submitted by Hand Delivery/Registered Post to:<br>The Program Administrator,<br>SARI/EI Project Secretariat<br>B-44, Shivalik Road, Malviya Nagar, New Delhi-110017<br>Tel:+91 11 26692714-16 |
| <b>Email address for any query</b> | <u><a href="mailto:pdasgupta@irade.org">pdasgupta@irade.org</a></u> , <u><a href="mailto:rajivratnapanda@irade.org">rajivratnapanda@irade.org</a></u> ,   |

#### 4.4. 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  | Due date of Submission of Deliverables/completion activity as per Scope of Work | Payment percentage |
|--------|--|---|--------------------|
| 1.     | Completion of Deliverable No 3.2 (1) - Draft report covering the analysis and key findings - Submission and acceptance of same                                       | Within 60 days from the date of signing of contract.                            | 30%                |
| 2.     | Completion of Deliverable No 3.2 (2) - Interim report incorporating the key findings of the South Asia Regional System Operators - Submission and acceptance of same | Within 120 days from the date of signing of contract.                           | 40%                |
| 3.     | Deliverable No 3.2 (3) - Final Report covering details as per the above scope of work - Submission and acceptance of the final report                                | Within 180 days from date of signing of contract.                               | 30%                |
|        | <b>Total</b>   |   | <b>100%</b>        |

## 5. Annexures

### 5.1. Annex 1: Bid 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 to conduct a **“Request for proposal for developing a Strategy/White Paper on Creating Regional Technical Institutional Mechanism i.e. South Asian Forum of System Operators (SAFSO) in South Asia Region for Promoting Cross Border Electricity Trade (CBET)”** for the sum as may be ascertained in accordance with the financial bid attached herewith and made part of this Bid.

We undertake, if our Bid 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 Bid for a period of 60 days from the date fixed for opening of Bids in the Invitation for Bid, 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 Bid you may receive.

Dated this day /month of year

Signature

(In the capacity of)

Duly authorized to sign Bid for and on behalf of

|  |  |
|--|--|
| Name of the Organisation:  |  |
| Date of Incorporation of the Organisation:                                   |  |
| Contact Person details:<br>Name:<br>Designation:<br>Mobile No.:<br>Email ID: |  |



## 5.2. Annex II: Technical Format for Organizational Experience

| S. No. | Name of the assignment | Client name | Time Period | Value (INR) | Status Ongoing/Completed |
|--------|------------------------|-------------|-------------|-------------|--------------------------|
| 1      |                        |             |             |             |                          |
| 2      |                        |             |             |             |                          |
| 3      |                        |             |             |             |                          |
| 4      |                        |             |             |             |                          |
| 5      |                        |             |             |             |                          |
| 6      |                        |             |             |             |                          |
| 7      |                        |             |             |             |                          |
| 8      |                        |             |             |             |                          |
| 9      |                        |             |             |             |                          |
| 10.    |                        |             |             |             |                          |

Description of the Projects/Assignments should be attached separately as project data sheets

### 5.3. Annex III: Technical Format for Curriculum Vitae

Please provide resume of individuals /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(Specialisation) 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
- 12) If an external advisor/consultant is hired, scanned Letter of the association clearly substantiating that the advisor/consultant has agreed to devote the given number of mandays in this particular assignment.



## 5.5. Annex V: Financial Bid Format

Dear Sir/Madam,

We hereby declare that the following costs outlined in the Terms of Reference for conducting a **“Request for proposal for developing a Strategy/White Paper on Creating Regional Technical Institutional Mechanism i.e. South Asian Forum of System Operators (SAFSO) in South Asia Region for Promoting Cross Border Electricity Trade (CBET)”**. We further declare that these are FIRM (fixed) prices and shall remain unchanged for the entire period of consultancy/assignment.

| Item          | Lump sum Fixed cost (INR) | Taxes/duties if any | Total Amount (INR) |
|---------------|---------------------------|---------------------|--------------------|
| Scope of Work |                           |                     |                    |

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

Signature:

Name:

Designation

Seal:

## 5.6. Annex VI: Draft Contract

This consultancy contract is made on this ---- day of ....., 2019 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 organization) .....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) 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 the terms of reference, 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. | Completion of Deliverables as per Scope of Work                      | Due date of Submission of Deliverables/completion of activity as per Scope of Work | Payment percentage |
|--------|--|--|--------------------|
| 1      | Completion of Deliverable No 3.4 (1) and acceptance of same          | Within 60 days from the date of signing of contract.                               | 30%                |
| 2      | Completion of Deliverable No 3.4 (2) and acceptance of same          | Within 120 days from the date of signing of contract.                              | 40%                |
| 3      | Deliverable No 3.4 (3) Submission and acceptance of the final report | Within 180 days from date of signing of contract.                                  | 30%                |
|        | Total  |  | 100%               |

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.

At each stage of the work as desired by IRADe, the agency engaged would be required for interaction and attend review meetings/make presentations in IRADe/USAID at a time and place intimated by IRADe.

7. This contract will be governed by IRADe's General Terms & Condition for Consultancy Contract as laid down in **Annex VI**.
8. 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.
9. All communication regarding this contract should be addressed to who will manage this contract or the person designated by him.
10. In witness thereof, this contract is signed on

For and on behalf of **IRADe**

Signature: Name: Designation Date:

For and on behalf of **Consultant**

Signature: Name: Designation: Date:

## 5.7. Annex VII: General Terms and Conditions of the 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                               |

### 5.7.1. 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.

### 5.7.2. ARTICLE II: General Conditions of Agreement

1. Both parties hereby declare that they are fully empowered, authorized 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/altered/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. IRADe 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.

### **5.7.3. 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.

### **5.7.4. 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*.

#### 5.7.5. ARTICLE V: Taxes/Duties/Service Tax

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

#### 5.7.6. 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**

#### 5.7.7. 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

#### **5.7.8. ARTICLE VIII: Subcontracting**

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

#### **5.7.9. 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.

#### **5.7.10. 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.

#### **5.7.11. ARTICLE XI: Disputes**

1. Either Party is entitled to raise any Dispute including the existence or validity or termination of the Agreement by giving a written notice to the other Party, which shall contain:
  - i. a description of the Dispute;
  - ii. the grounds for such Dispute; **and**
  - iii. all written material in support of its claim.
2. The other Party shall, within 15 days of the issuance of the Dispute notice issued under, furnish:
  - i. counter-claim and defenses, if any, regarding the Dispute; and
  - ii. all written material in support of its defenses and counter-claim.
3. Within one month of issuance of notice by any Party pursuant to Article XI.1, the Parties to the Dispute shall meet to settle such Dispute amicably. In the event the Parties fail to resolve

the Dispute amicably within the said one-month period, the Dispute shall be sent for arbitration.

#### **4. Arbitration**

The Dispute shall be resolved by arbitration under the Indian Arbitration and Conciliation Act, 1996 and the Rules made thereunder, in accordance with the process specified below:

- (i) In the event of a Dispute remaining unresolved as referred to in Article XI.1, any party to such Dispute may initiate arbitration by notifying the other Party.
- (ii) The Arbitration tribunal shall consist of 3 (three) arbitrators of whom each Party shall select one, and the third arbitrator shall be appointed by the two arbitrators so selected. In the event of any disagreement between the two arbitrators, the third arbitrator shall be appointed in accordance with the Indian Arbitration and Conciliation Act, 1996 and the Rules made thereunder.
- (iii) The place of arbitration shall be New Delhi, India. The language of the arbitration shall be English.
- (iv) The arbitration tribunal's award shall be substantiated in writing. The arbitration tribunal shall also decide on the costs of the arbitration proceedings and the allocation thereof.
- (v) The award shall be enforceable in any court having jurisdiction, subject to the applicable Laws.

#### **5. Parties to Perform Obligations**

Notwithstanding the existence of any Dispute referred to the arbitral tribunal as provided in Article XI.4, and save as the arbitral tribunal may otherwise direct by a final or interim order, the Parties hereto shall continue to perform their respective obligations (which are not in Dispute) under this Agreement.

##### **5.7.12. 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 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.

#### **5.7.13. 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 privacy 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 privacy of contract whatsoever with the IRADe.
4. 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.

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