

# Partial Risk Sharing Facility in Energy Efficiency PROCUREMENT PLAN

## I. General

### 1. Project information:

- Project Name: Partial Risk Sharing Facility in Energy Efficiency
- Country: India
- Project Code: P128921

2. **Bank's approval Date of the procurement Plan** Draft Procurement Plan dated **November 13, 2014** Revision 0 agreed by the Bank on November 13, 2014

3. **Implementing Agencies:** Small Industries Development Bank of India (SIDBI) and Energy Efficiency Services Limited (EESL)

4. **Period covered by this procurement plan:** 18 months

5. **Risk Rating for the Implementing Agency:** Moderate

6. **Original Procurement Risk Rating for the Project:** Moderate

7. **Current Procurement Risk Rating for the Project:** Moderate

## II. Non-consulting services and Goods.

### 1 a) Procurement Methods and Thresholds

<i>Category</i>	<i>Method of Procurement</i>	<i>Threshold (USD Equivalent)</i>
<i>Goods and Non-consultant services</i>	<i>International Competitive Bidding (ICB)</i>	<i>&gt; 3,000,000</i>
	<i>Limited International Bidding (LIB)</i>	<i>wherever agreed by Bank</i>
	<i>National Competitive Bidding (NCB)</i>	<i>Up to 3,000,000 (with NCB conditions)</i>
	<i>Shopping</i>	<i>Up to 100,000</i>
	<i>Direct Contracting (DC)</i>	<i>As per paragraph 3.7 of Guidelines</i>
	<i>Public-Private Partnership (PPP) Services</i>	<i>As per paragraph 3.14 of Guidelines</i>
	<i>Force Account</i>	<i>As per paragraph 3.9 of Guidelines</i>
	<i>Framework Agreement (FA)</i>	<i>As per paragraph 3.6 of Guidelines</i>
	<i>Procurement from United Nations (UN) Agencies</i>	<i>As per paragraph 3.10 of Guidelines</i>
	<i>Performance Based Procurement</i>	<i>As per paragraph 3.16 of Guidelines</i>

### 1 b) Prior Review Threshold

Goods: All contracts more than USD 6 million equivalent

Non-Consultant Services and IT systems: All contracts more than USD 6 million equivalent

In addition, the justifications for all contracts to be issued using LIB or direct contracting shall be subject to prior review. First framework agreement will be subject to prior review irrespective of value. For prior review contracts, the amendments for increasing the cost or extension of time beyond 15% of original value shall also be subject to Bank's prior review.

2. **Pre-qualification** – Not envisaged
3. **Applicable Guidelines:** All the contracts issued under the project will follow the World Bank's "Guidelines: Procurement of goods, works and non-consulting services under IBRD loans and IDA credits & grants by World Bank borrowers" dated January 2011 (as updated in July 2014).
4. **Any Other Special Procurement Arrangements:** NCB will be conducted in accordance with paragraph 3.3 and 3.4 of the Guidelines and the following provisions:
  - i. Only the model bidding documents for NCB agreed with the GOI Task Force (and as amended for time to time), shall be used for bidding;
  - ii. Invitations to bid shall be advertised in at least one widely circulated national daily newspaper (or on a widely used website or electronic portal with free national and international access along with an abridged version of the said advertisement published in a widely circulated national daily inter-alia giving the website/electronic portal details from which the details of the invitation to bid can be downloaded), at least 30 days prior to the deadline for the submission of bids;
  - iii. No special preference will be accorded to any bidder either for price or for other terms and conditions when competing with foreign bidders, state-owned enterprises, small-scale enterprises or enterprises from any given State;
  - iv. Except with the prior concurrence of the Bank, there shall be no negotiation of price with the bidders, even with the lowest evaluated bidder;
  - v. Extension of bid validity shall not be allowed with reference to Contracts subject to Bank prior review without the prior concurrence of the Bank (i) for the first request for extension if it is longer than four weeks; and (ii) for all subsequent requests for extension irrespective of the period (such concurrence will be considered by Bank only in cases of Force Majeure and circumstances beyond the control of the Purchaser/ Employer)
  - vi. Re-bidding shall not be carried out with reference to Contracts subject to Bank prior review without the prior concurrence of the Bank
  - vii. The system of rejecting bids outside a pre-determined margin or "bracket" of prices shall not be used in the project;
  - viii. Rate contracts entered into by Directorate General of Supplies and Disposals will not be acceptable as a substitute for NCB procedures.

Such contracts will be acceptable however for any procurement under the Shopping procedures;

- ix. Two or three envelope system will not be used (except when using e-Procurement system assessed and agreed by the Bank)

Other agreed provisions are:

- Any discount received from the bidders after bid submission deadline will not be considered either during the bid evaluation or the contract award.
- Domestic preference will be applicable for ICB procurement of Goods as per Appendix 2 of the Procurement Guidelines.
- Bids received from foreign bidders will not be rejected under NCB.

**5. Procurement Packages with Methods and Time Schedule – As per STEP.**

**III. Selection of Consultants**

**1 a) Selection Methods and Thresholds**

<i>Category</i>	<i>Method of Procurement</i>	<i>Threshold (USD Equivalent)</i>
<i>Consultants' Services</i>	<i>Selection Based on Consultants' Qualifications (CQS)/Least-Cost Selection (LCS)</i>	<i>Up to 300,000</i>
	<i>Single-Source Selection (SSS)</i>	<i>As per paragraphs 3.9-3.11 of Guidelines</i>
	<i>Individuals</i>	<i>As per Section V of Guidelines</i>
	<i>Particular Types of Consultants</i>	<i>As per paragraphs 3.15-3.21 of Guidelines</i>
	<i>Quality- and Cost-Based Selection (QCBS)/ Quality-Based Selection (QBS)/ Selection under a Fixed Budget (FBS)</i>	<i>for all other cases</i>

**1 b) Prior Review Threshold**

- Consultancy Services: > US\$ 4 Million equivalent for **firms**; and  
> US\$ 500,000 equivalent for **individuals**

In addition, the justifications for all contracts to be issued on the basis of single-source selection will be subject to prior review. For prior review contracts, the amendments for increasing the cost or extension of time beyond 15% of original value shall also be subject to Bank's prior review.

- 2. **Short list comprising entirely of national consultants:** Short list of consultants for services, estimated to cost less than \$ 800,000 equivalent per contract, may comprise entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines.

3. **Any Other Special Selection Arrangements:** The evaluation committees will have external experts, as and when required, apart from in-house experts.
4. **Applicable Guidelines:** All the contracts issued under the project will follow the World Bank's "Guidelines: Selection and employment of consultants under IBRD loans and IDA credits & grants by World Bank borrowers" dated January 2011 (as updated in July 2014).
5. **Consultancy Assignments with Selection Methods and Time Schedule – As per STEP.**

