

Investment Prospectus Preparation Meeting Green Bonds/ClimateProject number: Bonds Certification Requirement for Mobilizing Financing for 17.9078.1-006.00 Efficient Grid Connected Solar Pumps in selected states of India

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0. List of abbreviations

AVB General Terms and Conditions of Contract (AVB) for supplying services and work 2018 BUR Biennial Update Report EESL Energy Efficiency Services Limited SPIPA Strategic Partnerships for the Implementation of the Paris Agreement BLDC Brush Less Direct Current MNRE Ministry of New and Renewable Energy MoEFCC Ministry of Environment Forests and Climate Change ToRs Terms of reference



1. Context

According to India's second Biennial Update Report (BUR) to the United Nations Framework Convention on Climate Change (UNFCCC) India emitted 2607.49 million tonnes CO₂e (excluding LULUCF) and 2306.3 million tonnes CO₂e (including LULUCF) in 2014. Out of the total emissions, the energy sector accounted for 73% of the emissions. India has set ambitious Nationally Determined Contribution (NDC) targets of installing 40% of renewable energy capacity by 2030. and reducing emission intensity of the economy by 33-35% by 2030 compared to 2005. India has around 19 million grid connected pump-sets that contribute to GHG emissions due to consumption of electricity generated using fossil fuels mostly coal. Replacing these pumps with solar pumps can lead to reducing GHG emissions along with water savings in case farmers are paid for selling electricity generated using the solar panels.

The European Union is implementing a programme titled "Strategic Partnerships for the Implementation of the Paris Agreement (SPIPA)" with Ministry of Environment, Forest and Climate Change to scale up climate policy collaborations and promote the implementation of the Paris Agreement. The project includes the following focus areas: (1) Networking, Capacity Building and Knowledge Management; (2) Low-carbon Modelling; (3) Sector activities: adaptation; (4) Technical Exchange on Monitoring of Climate Action and (5) Sector Activities: mitigation. As part of the area on mitigation, the project is focusing on enabling mobilization of financing for grid connected efficient solar pumping project in selected districts of three states leading to GHG emission reductions.

The specific objectives of the work are as follows:

- 1. Technical evaluation and stakeholder survey in three states for project implementation.
- 2. Investment prospectus Preparation meeting Climate Bonds Initiative or comparable green bond certification requirement for Mobilizing Financing for Grid Connected efficient Solar Pumps in selected states of India.

States selected i.e. Gujarat, Maharashtra and Andhra Pradesh have different models of solarization i.e. solarization of existing pumps; feeder level solarization; and solarisation with replacement with BLDC pump. Therefore, separate methodologies will have to be adopted in surveys and analysis. As Andhra Pradesh has already installed BLDC pumps a comparative technical analysis and survey of farmers would be required.

2. Tasks to be performed by the contractor

The contractor is responsible for providing the following services:

Work Package 1: Technical evaluation and stakeholder survey in three states selected for project implementation.

The contractor shall do the following activities but not limiting to:

Background Study:

• Desk based analysis of literature and studies related to solar pumping in India considering central/state schemes, solarization models, highlighting challenges, opportunities and learning from the states with higher level of solar pump adoption.



• Desk based analysis to explore the innovation in the energy-efficient agriculture pumping based on the defined performance parameters.

As is Assessment:

- As is Assessment of the performance of existing solar pumps in selected districts across three states.
- Assessment of grid pattern and grid infrastructure for grid connected solar pumps integration in selected districts of three states and desk-based analysis of considering implementation of efficient pumps in the existing grid connected solar pumps. This assessment should consider 'feeder segregation' related issues with analysis of costs, benefits and operational parameters.
- Provide suggestions on the detailed methodology, technical criteria and boundary conditions for the replacement of the existing pumps with new energy-efficient pumps during the life cycle of pumps.
- In case of Andhra Pradesh where efficient BLDC pumps are already installed a detailed comparative analysis should be conducted between this and other models.
- Provide suggestion on the key modalities required for the convergence of presently existing energy-efficient agriculture pumps programs of central/state with PM KUSUM component C in regard to the financing and implementation mechanism.
- Assessment of solarisation of agriculture with grid-connected efficient agricultural pumps in regards to key challenges of feeder selection, handling and operational expenses of decentralized data, payment mechanisms to the farmers, expenditure in the augmentation of the existing distribution infrastructure (if any), selection criteria of AC/DC efficient solar pumps, comparison of regulation of net metering, etc.
- Pump age profiling to be done for old pumps to understand that exact benefits w.r.t age and technology of replaced pump.
- Assessment of agriculture energy consumption on selected feeders in selected districts of three states considering implementation of efficient solar pumps.
- Assessment of the impact of grid connected efficient solar pump sets on DISCOM i.e, reduction in distribution losses, electricity cost for farmers' etc.
- Estimation of energy use reduction, water saving and GHG reduction due to grid connected efficient solar pump program implementation.
- Assessment of different technical implementation models as per guidelines of PM KUSUM Scheme on Solarization of Grid-connected Agricultural Pumps and other relevant guidelines by different Ministries of the Government of India considering implications of introduction of efficient pumps on pumps implemented as part of the KUSUM scheme.
- Assessment of different technical implementation models for efficient grid connected solar pumps as per the guidelines of the relevant departments in the state government if applicable in the selected states.
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Technical Evaluation after replacing existing pumps with energy efficient pumps:

- Identification of the existing grid connected solar water pumps in selected districts of 3 states.
- Replacing the existing solar water pumps with energy efficient water pumps.
- Monitoring the performance of the solar water pumps based on the selected parameters.



- Study up to 50 (numbers can change depending on the ground situation so cost estimate should be provided separately) grid connected efficient solar pumps on rent or lease or in partnership with early adopting farmers in each state i.e, Gujarat Maharashtra and Andhra Pradesh in order to assess the practical challenges related to grid connectivity, performance of the pump, panel etc. over a period of six months. The grid connected efficient solar pumps to be distributed considering variation in geographical condition, water table, type of crops etc. The parameters can be decided at the inception meeting.
- As the performance is to be studied for a period of six months, an agreement/declaration for participation in the study by farmer must be signed to avoid any issues related to performance/ yield during this period.
- Conduct operational assessment of the pumps and prepare a post implementation report highlighting impacts like reduction in energy consumption, benefits to farmers, , flow changes etc.
- Comparison Analysis should be provided for two scenarios viz, (i) normal scenario where the panel are cleaned as per farmers frequency of cleaning and (ii) best case scenario, wherein panels are cleaned at regular interval to extract maximum output.
- Conduct a comparative analysis of different partnership operational business models with the involvement of State level agencies, innovative startups and MSMEs.
- Assess the key issues and challenges faced or likely to be faced by the project and how to address those to increase the reach of the efficient solar pumps (failure rates, distribution system, costing etc.).
- Challenge assessment exercise to have a proper risk assessment and mitigation strategy identifying technical, financial, operational and behavioural risks and mitigation strategy for each of the identified risks.
- Providing recommendations and suggesting best practices in the form of a handbook and instructional doodle or role play based video to help scale up the project.
- The handbook or instructional doodle or role play video should include Do(s)/ Don't(s)/ FAQ(s)/ Self Help/ Standard Operating Procedure(s) (SOPs)/Process Flow Chart(s)/ etc. for large scale implementation of grid connected efficient solar pumping program with details of potential business models
- Develop a technical evaluation criteria checklist to assess suitability of a location for effective implementation of efficient grid connected solar pumping projects.

Survey:

- Design and implementation of an online survey to determine farmers' and other key stakeholders' interest and concerns regarding the project with statistically appropriate sample size of farmers in the three states. The sample size should be representative and at least 500 farmers should be covered.
- The consultant shall ensure consent of farmers and other stakeholders before taking their inputs for the survey.
- Survey should be done for three set of farmers- first set farmers who are using existing grid connected solar pumps (inefficient pumps); and second set of farmers are those who got their pumps replaced with energy efficient solar water pumps through the project. The third set includes farmers in Andhra Pradesh with already installed efficient BLDC pumps these farmers should also be surveyed for comparison with the other models of implementation.



- The survey of farmers with existing pumps and of farmers who replace inefficient pumps with efficient pumps should be done after 6 months of implementation of energy efficient solar water pumps.
- Perception survey of all types of farmers should be done after 6 months of implementation of energy-efficient pumps to understand the impact in comparable seasons (sowing/cutting), weather and socio-economic events etc in Gujarat and Maharashtra. The farmers in Andhra Pradesh with already installed efficient BLDC pumps should also be surveyed at the same time for comparison with the other models.
- Assessment of potential of replacing existing pumps with energy efficient pumps in three selected states.
- Assessment of socio-economic impacts of this activity in three different states based on the perception survey. The survey can be organized through phone or online mode as well in case there are restrictions due to COVID-19.
- Benefit to the farmer needs to be quantified in a measurable parameter and survey should be designed accordingly to record measurable impacts.
- The consultant shall prepare a detailed survey methodology and data assessment plan. The survey questionnaire and plan should be approved prior to implementation.
- Implementation of checks and controls designed in conjunction with the project team to ensure the quality of the information being collected during the survey and a protocol for returning to the field if necessary when errors for a question or questions reach a certain threshold.
- Creation of a data entry template approved by the project team, with relevant quality control tools to ensure the quality of data entry, including double entry, consistency and range checks.
- Delivery of scanned survey questionnaires along with summary of the data in ".xls format".
- Ensuring that data is maintained and stored in a manner that is confidential so that no external individual or institution can access the database.

Work Package 2: Investment Prospectus Preparation for Mobilizing Financing for Efficient Grid Connected Solar Pumps in selected states of India meeting guidelines for Climate Bonds Initiative (CBI) or comparable certification standard.

The contractor based on inputs from the technical evaluation, stakeholder survey and guidelines from the Climate Bonds Initiative (CBI) or comparable green bond certification requirement will prepare an investment prospectus for Mobilizing Financing for Efficient Grid Connected Solar Pumps in selected states of India. The contractor shall do the following activities but not limiting to:

- Include details of the investment potential in India for the grid connected solar pumping sector and analysis of investment potential of introducing efficient pumps in existing grid connected solar pumps.
- Develop business models for grid connected solar pumping with efficient pumps in agriculture sector which are feasible and sustainable with minimum financial support from State/Central government (with low dependence on subsidy).
- Develop innovative financing structure, revenue sharing models, payment models etc. that can ensure sustainability of the project.



- In financial models developed risk sharing among the stakeholders must be clearly brought out in different models. Accounting and debt recovery models must also be clearly defined.
- Include analysis of existing government programs like KUSUM and other policies in designing the financial models and implication of introduction of efficient pumps in pumps installed as part of existing scheme.
- Include analysis of taxation issues and evaluate impact of taxation on the return for investors, scale up potential and impact potential of the project.
- Develop state specific commercial models for large scale implementation of solar pumping schemes with introduction of efficient pumps.
- Conduct sensitivity analysis and scenario analysis for grid connected solar efficient pumps considering different equity, debt and grant components.
- Prepare project implementation structure and plan, including description of the roles and responsibilities of officials involved in the Project Implementation/Management Unit (PIU/PMU) that needs to be setup for the implementation.
- Design different partnership models including EESL and farmer, EESL, farmer and state government, EESL, farmer and third-party investors model for financing the projects and carry out a comparative analysis based on the regional context in each state
- Prepare a plan for funds flow and steps for implementation of grid connected efficient solar pumping projects in partnership with farmers.
- Prepare regulatory/compliance requirement documents for raising green bonds or debt from domestic or international financial institutions.
- Prepare due diligence and financial management capacity assessment plan. Conducting due-diligence is not part of this contract only preparation for due-diligence should be covered as an annexure to the investment prospectus.
- Ensure requirements of Climate Bonds Initiative or similar green bonds standards are met in the investment prospectus.
- Describe main elements of legal and regulatory framework affecting the project.
- Conduct risk analysis and provide concrete and practical suggestions for reducing the risks.
- Prepare an analysis of the climate change mitigation and water saving impact of the project along with economic quantification of the benefits.
- Assess feasibility of raising green bonds, debt from domestic or international financial institutions for the solar pumping projects.
- For stakeholder discussions, at least 6 focus group discussions on different models with the stakeholder/ risk sharing parties should be organized. This would help in testing theoretical efficacy of the models.
- Organize a stakeholder consultation with relevant financial institutions and other stakeholders to seek inputs for improving the investment prospectus. The consultation can be organized in online mode as well in case there are restrictions on organizing public events due to COVID-19.



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

Milestone	Deadline/place/person responsible
Inception Report	Week 4
Submission of stakeholder survey data and analysis report	Week 8
Draft Technical Evaluation Report and Handbook for technical implementation of efficient grid connected solar pumping projects	Week 40
Draft Investment Prospectus	Week 20
Organize stakeholder consultation with financial institutions to seek inputs on draft investment prospectus	Week 24
Final Technical Evaluation Report, Stakeholder Investment Prospectus	Week 40

Period of assignment: From 1st November 2020 until 30th August 2021.

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

EESL & GIZ will support a consultant or group of consultants for this study. In case of group, it should not comprise of more than 7 individual members, including one identified as the lead. The lead consultant will coordinate and submit technical and financial reports to the EESL & GIZ at intervals identified in the agreement. Each consultant will submit technical and financial reports to the lead consultant who will in turn synthesize and ensure a coherent report is submitted. Each consultant will be expected to ensure accountability to the group and lead consultant.

The selected consultants will be required to ensure that they are fully guided by GIZ and EESL and both are informed of all meetings and progress.

In derogation from GIZ AVB, the contractor makes contributions to reports to GIZ's commissioning party instead of submitting its own reports.

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.

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. 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 (2.1)

Tasks of the team leader

- Overall responsibility for the advisory packages of the contractor (quality and deadlines)
- Coordinating and ensuring communication with GIZ, partners and others involved in the project
- Personnel management, 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): University qualification in Engineering, Management, Finance, Economics, or a related field from a recognised and reputable institution;
- Language (2.1.2): Good business language skills in English
- General professional experience (2.1.3): 15 years of professional experience of working on renewable energy financing issues including solar, biomass, wind etc.
- Specific professional experience (2.1.4): Knowledge and Experience of grid connected solar pumping related project or policy implementation project 6 years of leadership/management experience and leading at least 1 program related to financing solar energy projects.;
- Leadership/management experience (2.1.5): 6 years of management/leadership experience as project team leader or manager in a company
- Regional experience (2.1.6): 5 years of experience in projects in India
- Development Cooperation (DC) experience (2.1.7): 3 years of experience in DC projects
- Other (2.1.8): Demonstrable experience of working on preparing investment prospectus and supporting raising financing for renewable energy projects.

Grid Connected Solar Pumping expert (Three Experts) (2.2)

Qualifications of Experts

- Education/training (2.2.1): Advanced degree in Engineering, or a related field from a recognised and reputable institution;
- Language (2.2.2): Good business language skills in English and working knowledge in Hindi is desirable
- General professional experience (2.2.3): 5 years of professional experience in renewable energy projects including solar pumping;
- Specific professional experience (2.2.4): 2 years of specific experience of working on implementation of grid connected solar pumping projects with focus on technical aspects etc.
- Regional experience (2.2.6): India



- Development Cooperation (DC) experience (2.2.7): 2 years of experience in DC projects
- Other (2.2.8): Proven experience in conducting assessment of solar pumping projects.
- Proven experience of engaging with DISCOMS, farmers and other stakeholders on grid connected solar pumping issues.

Renewable Energy Financing expert (Two Experts) (2.3)

- Education/training (2.3.1): Advanced degree in Management, Finance, or a related degree from a reputable and recognized university/institution
- Language (2.3.2): English
- General professional experience (2.3.3): 5 years of professional experience in preparing investment prospectus for renewable energy projects particularly grid connected solar or solar pumping projects;
- Specific professional experience (2.3.4): Experience and knowledge in green bonds or climate bonds certification.
- Regional experience (2.3.6): India
- Development Cooperation (DC) experience (2.3.7): 1 years of experience in DC projects
- Other (2.3.8): Experience and knowledge in raising financing for renewable energy projects etc.

Climate Change Communications Expert (2.4)

Tasks of expert

- To specifically look at the organising component of the stakeholder consultations/focus group discussions and design and implementation of farmers survey
- To develop and finalise the final communication materials including a short animation/doodle video to depict the findings and concluding remarks from the pilot study (Minimum two videos with an estimate of additional cost involved should be provided)
- To prepare a detailed activity report with photographs from various field surveys including outreach and documentation components

Qualifications of expert

- Education/training (2.4.1): University qualification in Climate Policy, Development Studies, Climate Science or Mass communications/Journalism with adequate IT skills for organising online consultations and focus group discussions
- Language (2.4.2): Good business language skills in English, and proficiency in Hindi is desirable
- General professional experience (2.4.3): 5 years of professional experience in the climate change communications domain
- Specific professional experience (2.4.4): 2 years in organising International events related to Climate Change
- Leadership/management experience (2.4.5): 1 year of management/leadership experience as project team leader or manager in a company
- Development Cooperation (DC) experience (2.4.6): 2 years of experience in DC projects

Soft skills of team members

In addition to their specialist qualifications, the following qualifications are required of team members:

- Team skills



- Initiative
- Communication skills
- Sociocultural competence
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking

Short-term expert pool with minimum 1, maximum 3 members

Qualifications of the short-term expert pool

- Education/training (2.6.1): Advanced degree in Management, Engineering, Environmental Science, Economics, International Development/Relations, or a related field from a recognised and reputable institution;
- Language (2.6.2): Financial or technical expert with good language skills in English
- General professional experience (2.6.3): 2 experts with 10 years of experience and excellent knowledge of issues related to financing for renewable energy projects in India particularly related to solar and or solar pumping.
- Specific professional experience (2.6.4): 1 expert with 10 years of recognized expertise in green or climate bonds certification in India;
- Regional experience (2.6.5): 2 experts with 5 years of experience in India

The bidder must provide a clear overview of all proposed short-term experts and their individual qualifications.

5. Costing requirements

Assignment of personnel

- Team leader: Assignment in country of assignment for 45 expert days
- Three Grid Connected Solar Pumping experts : Assignment in country of assignment for 180 expert days (60 days each)
- Two Renewable Energy Financing Experts: Assignment in country of assignment for 80 expert days (40 days each)
- Climate Change Communications Expert: Assignment in country of assignment for 30
 expert days
- Short-term expert pool: total 20 expert days

Required Qualification / experience for the consulting agency

The Agency should have the following administrative and financial requirements for conducting the assignment:

- Average annual turnover for the last three financial years should be at least 150,000 Euros.
- Number of employees as at 31.12.2019 should be at least 10 persons.
- Agency must have worked on at least 2 reference projects with a minimum commission value of 40,000 Euros.
- Have legal status enabling the organization to perform the above-mentioned tasks.
- Ensure full data protection for all processes and procedures before, during and after data collection according to Indian legislation and the EU GDPR.



The agency should have the following experiences for conducting the assignment:

- 10 years of Technical expertise in consulting on solar pumping and efficient pumping related issues.
- 5 years' experience in climate finance, green bonds, solar financing
- 5 years' experience in collaboration with government agencies on grid connected solar pumping and efficient pumps related issues
- 5 years of experience in the field of surveys, focused group discussions with farmers and relevant stakeholders
- 5 years of experience in development of communication materials for farmers and relevant stakeholders

Travel

The bidder is required to calculate the travel by the specified experts and the experts it has proposed based on the places of performance stipulated in Chapter 2 and list the expenses separately by daily allowance, accommodation expenses, flight costs and other travel expenses.

Budget Head	Number of Persons	Total Number of Trips	Days involved for each trip
Team Leader	1	6	3
Solar Pumping Experts	3	18	5
Communications Expert	1	6	5
Finance Experts	2	4	3
		34	16

Surveys, Stakeholder Consultations and Focus Group Discussions

The contractor implements the following surveys and consultations:

- Stakeholder consultations/Focus Group discussions
- Farmers and Stakeholder Surveys
- Estimate of additional cost involved should be provided (for instance: cost involved for using online platforms for survey, hiring of additional manpower for conducting field level surveys. Etc)

6. Inputs of GIZ or other actors

GIZ-India shall be responsible for co-ordinating with) and Ministry of Environment Forests, and Climate Change (MoEFCC) in the due course of this activity.

The selected consultants will be required to ensure that they are fully guided by EU, GIZ India, Relevant Ministries and EESL.

The consultant shall inform on regular intervals about the progress and will make a request for participation in meetings, consultations and focus group discussions at least 7 days in advance.



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 (language).

The complete bid shall not exceed 10 pages (excluding CVs & company documents mentioned in grid for assessing eligibility of firms).

The CVs of the personnel proposed in accordance with Chapter 4 of the ToRs must be submitted using the format specified in the terms and conditions for application. The 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 can also be submitted in English (language).

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 exactly on the aforementioned costing requirements. In the contract the contractor has no claim to fully exhaust the days/travel/workshops/ budgets. The number of days/travel/workshops and the budget amount shall be agreed in the contract as 'up to' amounts. The specifications for pricing are defined in the price schedule.