



Office: 2678078

2672404

Fax:0135-2672337

E-mail:upsvnn@gmail.com

UTTARAKHAND PEYJAL SANSADHAN VIKAS EVAM NIRMAN NIGAM

HEAD OFFICE :11-MOHINI ROAD, DEHRADUN.

REQUEST FOR EXPRESSION OF INTEREST

India

Assignment: Title: Empanelment of Design Build and Operate Contractors/ Firms for 26 water supply systems in peri urban areas.

Reference No: *Ref. No. 636 / World Bank- PIU/76 dated 29.05.2018*

The Government of Uttarakhand, Department of Drinking Water & Sanitation has applied for IBRD Loan no. 8805-IN from the World Bank for financing of Uttarakhand Water Supply Program (UWSP) for Peri Urban Areas.

Government of Uttarakhand Intended for Empanelment of Build and Operate Contractors for development of 26 water supply schemes in various Census towns of Uttarakhand.

Expression of Interest is invited from eligible firms/ Contractors to indicate their interest in providing the above services. Interested firms/ Contractors must provide information indicating that they are qualified and relevant experience to perform the services (brochures, description of similar assignments, experience in similar works, availability of appropriate skilled etc). The short-listing criteria are:

- (i) Age of the *firm/ Company* should not be less than three years;
- (ii) Firm/ Contractor has Completed construction of water supply/ Sewerage system and Performance based operation and maintenance for at least 18 Months on Build and Operate mode *for any State Government/Central Government* in the last five financial years, duly supported by copy of agreement with ToR & completion certificate of such assignments issued from competent authority.
- (iii) Average annual turnover in last three financial year should not be less than 80% of cost of Scheme/ Schemes. Contractors/ Firms/ Company may associate with other firms/ contractor in the form of a joint venture/consortium to enhance their qualifications (Joint Venture must not have more than three partners).

Contractor/ JV/Firm/ consortium may submit their interest in providing service for one or more census town jointly or separately.

A *Contractors/ Firms / Company* will be empanelled in accordance with the above criteria.

Further information / ToR can be obtained at the address below during office hours from 1000 to 1700 hours on all working days or downloaded from website <http://peyjal.uk.gov.in> or uktenders.gov.in

Expressions of interest must be delivered in a written form to the address shown above in person, or by Post upto 21 June 2018 at 1700 hours.

(V.C Purohit)
Chief Engineer (HQ)

TERM OF REFERENCE (TOR) FOR

REQUEST FOR EXPRESSION OF INTEREST

TO

**DESIGN BUILD, OPERATE AND MAINTAIN PERI URBAN
WATER SUPPLY INFRA STRUCTURE ON MODE IN ONE OR MORE
DISTRICTS OF UTTARAKHAND**

BY

UTTARAKHAND PEYJAL NIGAM, DEHRADUN

TABLE OF CONTENTS

DISCLAIMER 3

1. BACKGROUND4

2. PRE-QUALIFICATION CRITERIA10

3. INSTRUCTION TO APPLICANTS12

4. GENERAL TERMS AND CONDITIONS.....14

5. SUBMISSION OF APPLICATIONS.....16

ANNEXURE I – LETTER OF SUBMISSION18

ANNEXURE II – FORMAT FOR SUBMISSION OF APPLICATION20

ANNEXURE III – FORMAT FOR SUMMARY OF TECHNICAL CAPACITY21

ANNEXURE IV – FORMAT FOR PROJECT INFORMATION SHEET.....22

DISCLAIMER

The information contained in this request for expression of interest ("**EOI**") or subsequently provided to Applicant(s) on behalf of the Uttarakhand Peyjal Nigam ("**Authority**") or any of its employees or advisors, is provided to the Applicants on the terms and conditions set out in this EoI.

This EOI is neither an agreement and nor an offer by the Authority to the prospective Applicants or any other person. The purpose of this EOI is to provide interested parties with information that may be useful to them in the formulation of their application for pre-qualification pursuant to this EOI ("**Application**").

The Authority, its employees and advisors make no representation or warranty and shall have no liability to any person, including any Applicant under any law, statute, rules or regulations or tort, principles of restitution or unjust enrichment or otherwise for any loss, damages, cost or expense which may arise from or be incurred or suffered on account of anything contained in this EOI or otherwise, including the accuracy, adequacy, correctness, completeness or reliability of the EOI and any assessment, assumption, statement or information contained therein or deemed to form part of this EOI or arising in any way for participation in the bidding process.

The Authority also accepts no liability of any nature whether resulting from negligence or otherwise howsoever caused arising from reliance of any Applicant upon the statements contained in this EOI. The Authority may in its absolute discretion, but without being under any obligation to do so, update, amend or supplement the statements, information, assessment or assumptions contained in this EOI.

The issue of this EOI does not imply that the Authority is bound to select an Applicant for the Project and the Authority reserves the right to terminate the process at any time without assigning any reasons whatsoever. The Applicant shall bear all its costs associated with or relating to the preparation and submission of its Application including but not limited to preparation, copying, postage, delivery fees, expenses associated with any demonstrations or presentations which may be required by the Authority or any other costs incurred in connection with or relating to its Application. All such costs and expenses will remain with the Applicant and the Authority shall not be liable in any manner whatsoever for the same or for any other costs or other expenses incurred by an Applicant in preparation or submission of the Application, regardless of the conduct or outcome of the bidding process. However if applicant want to have a presentation projector and space will be provided by the department free of cost.

1. BACKGROUND

Country Context

1.1 India's urban population has grown from 28 percent in 2001 to 32 percent in 2011, and for the first time, absolute increase in urban areas is higher than rural areas. Although the proportion of urban population concentrated in larger cities continues to remain high, several rural areas are transitioning towards urban characteristics or being absorbed into the limits of urban local bodies. Many rural areas in India which have attained significant urban characteristics continue to administratively be under the control of rural local bodies. These transitional areas, generally classified as peri-urban areas, have significant backward and forward economic linkages with urban as well as rural areas and present a unique governance, regulatory, infrastructure, service delivery and environmental challenge for policy makers. Being in a transitional state, they also face unique infrastructure and service delivery challenges including water supply and sanitation provision.

State Context

1.2 Uttarakhand, like the rest of India is rapidly urbanizing. As per Census 2011, the population of the State was 10.11 million with decadal growth rate of 25.2% (all India 17.6%) and population density of 189 persons/km². It is one of the most rapidly urbanizing state of India with urban population growth at 42% during 2001-2011, substantially higher than the national average growth of 32% during the same period. Emergence of peri-urban regions is a clear and growing phenomenon in Uttarakhand. The state has witnessed significant rise in peri-urban areas. The increase in Census Towns (CTs) in Uttarakhand from 12 in 2001 to 41 in 2011 is also an indicator of growth of peri-urban areas in the state. The 41 CTs collectively account for around 4.9 lakhs (2011) which is approximately 17% of the state's urban population. A large number of these census towns have emerged in select growth corridors and adjacent to major urban areas of Uttarakhand (mostly Municipal Corporations). In terms of concentrations, four distinct clusters emerge: i) Dehradun-Rishikesh (National Highway (NH) 72), ii) Hardwar-Roorkee (NH 58) iii) Haldwani-Rudrapur (NH 87) and (iv) Khatima region along NH-125.

Sector Context

1.3 Improving access to Water Supply and Sanitation (WSS) services is a development priority for the Government of India (GoI) and Government of Uttarakhand (GoUK) and significant investments have been made in the sector across urban and rural areas. The Government of Uttarakhand undertakes a number of WSS programs including the GoI flagship programs besides undertaking state/district plan schemes and externally aided projects. The water supply service delivery in the state, however still falls short of the GoI target for water supply for rural areas (NRDWP), urban areas (MoUD benchmarks). However, the state has achieved Open Defecation Free (ODF) status in June 2017.

Strategic Vision

1.4 The Government of India envisages that all the states will achieve universal coverage for water and sanitation services. The Government of Uttarakhand has a vision to achieve universal water supply coverage in urban areas by 2030. The Government of India aims to achieve the same in rural areas by 2022. The GoUK also aims for integrated development of the urban areas by making the cities vibrant, clean, and infrastructurally strong, along with improvements in service delivery. The Government of India has a vision to achieve universal sanitation coverage in urban and rural areas by 2019 and the State Government's vision is aligned to the national targets. Thus the objectives of GoUK are aligned with GoI programs that target universal WSS service delivery coverage across the country.

1.5 While the state has made reasonable improvements in the water supply and sanitation sector, including the support from World Bank RWSS programs, a number of challenges have to be addressed with respect to water supply particularly in view of the emergence of large number of peri-urban areas in the State. The state has a long way to go in terms of universal coverage and service levels in both urban and rural water supply. The issue of water supply service delivery is further exacerbated in peri-urban areas, which are yet to be integrated in the planning process. The Urban and Regional Development Plans Formulation and Implementation Guidelines (URDPFI) of the Ministry of Urban Development (MoUD), Government of India, provides guidance for planning of peri-urban areas. It recommends provision of WSS services at par with urban standards. However, the programs of the Ministry of Urban Development do not include peri-urban areas. The programs in the rural sector that cover the peri-urban areas (as they are administratively rural), only provide for service levels at par with rural areas, while their aspirations have been urban. Traditionally, State programs have followed GoI approach and therefore, they have not provided urban like services in rural areas. Water supply programs in peri-urban areas plan for lower service levels (e.g. 70 lpcd supply applicable to rural areas as against 135 lpcd for urban areas) as well as small scale interventions (small tube well schemes). Therefore, it has become imperative for the GoUK to address the service delivery issues in these peri-urban areas, which have largely been neglected in the planning process, with most consumers adopting 'self-provisioning' coping mechanisms. The water supply interventions to improve services in the urban outgrowths is an urgent priority.

GoUK partnership with the World Bank

1.6 GoUK has been successful in introducing innovative approaches to WSS challenges in the past. The state has successfully implemented two Rural Water Supply and Sanitation (RWSS) Projects supported by The World Bank (i) the Swajal Project (1996-2003) which piloted the demand responsive, community based schemes; and (ii) the Uttarakhand Rural Water Supply and Sanitation Project (URWSSP 2006-2015) which adopted a Sector Wide Approach (SWAp) for decentralizing service delivery responsibilities to the Panchayati Raj Institutions (PRIs). Thus the GoUK has been successful in implementing innovating approaches to deliver WSS services.

1.7 The World Bank has approved in principle its support of \$120 million to the Uttarakhand Water Supply Program for Peri-urban Areas (UWSP) out of a total Program amount of US\$150 million. The World Bank's financed program is titled - Uttarakhand Water Supply Program for Peri-urban Areas (UWSP). A new financing instrument – Program for Results (PforR) will be used by the World Bank for this Program, wherein funds under the Program will be disbursed from the World Bank to GoUK based on achievement of pre-agreed results in policy reforms, institutional improvements of sector agencies and improvement in water supply services in peri-urban areas of the State.

Program Areas

1.8 Building on the definition of Census Towns (CTs), the targeted peri-urban areas for the GoUK for this program are those which meet the criteria of (a) density as minimum 200 persons/sq.km, (b) within 10 km aerial distance from the existing limits of ULBs, and (c) not upgraded/merged into Statutory Town. The identified 35 peri-urban areas include 31 CTs and 4 CT like areas that are rapidly expanding in the four Growth Clusters: Growth Cluster I: Dehradun-Rishikesh, Growth Cluster II: Haldwani-Kathgodam, Growth Cluster III: Hardwar-Roorkee, Growth Cluster IV: Khatima, and some stand-alone CTs.

1.9 The present population- 2017 of these 35 CTs is 769,088 and number of households is 147, 492, based on baseline survey conducted by UJS and UJN. About 45 percent households in these CTs have water connections. Under each of these towns/habitations, priority will be accorded to the towns with lower service levels. The GoUK's water supply program for peri-urban areas specifically targets improvements

from the existing low coverage, poor services and intermittent supply as per rural standards, to the provision of universal water supply at par with urban standards. The GoUK would like to achieve universal metered house hold connections with good quality, pressurized, up to 135 lpcd supplied 24x7 in the rapidly expanding peri-urban areas (though the target for the Program is at least 16 hours of water supply). The investment requirement is USD 150 million for the medium-term program (2018-23). The funds will be used primarily for construction for water supply assets, new or rehabilitation of networks, and argumentation of water source, treatment, storage, disinfection, and distribution through piped networks that are metered at the household level to achieve urban service levels. Funds will also be used for strengthening monitoring, policy and planning outcomes of GoUK’s water supply program for peri-urban areas along with the support activities including program support/management, studies, capacity building etc. The GoUK, through a GO, has recently announced the water supply program for peri-urban areas as a priority program.

1.10 The table 2 below illustrates the areas that have been identified by the GoUK for interventions under the Program. World Bank Financing of USD 120 million will directly fund a population of 5,16,222 and linked to the achievement of DLIs. The selection of the peri-urban areas will be based on the feasibility of the water supply schemes and keeping in view the best outcomes of the program.

1.11 Table 2: Geographic Areas and Coverage

Prioritized Growth clusters	Peri-urban Areas
	Census Towns and CT like areas
Growth Cluster I: Dehradun-Rishikesh	Eleven CTs of Dhalwala, Jiwangarh, Central Hope Town, Raipur, NatthanPur, Mehu Wala Mafi, Natthuwa Wala, Rishikesh Dehat, Gumaniwala, Pratitnagar and Kharakmafi - comprising an estimated population of 2,53,500 by 2018
Growth Cluster II: Haldwani-Kathgodam	Three CTs of Fatehpur Range, Mukhani, Haldwani Talli and four CT like areas of Bithoriya No. 1, Kusumkhara, BamoriTalli Bandobasti and Gaujajali Uttar Range - comprising an estimated population of 1,33,500 by 2018
Growth Cluster III: Hardwar-Roorkee	Nine CTs of Haripur Kalan, Saidpura, Bangherimahabatpur, NagalaImarti, Dhandera, Maohanpur Mohammadpur, RawaliMahdood, Bahadarabad and Jagjeetpur - comprising an estimated population of 2,55,500 by 2018
Growth Cluster IV: Khatima	Three CTs of Umrukhurd, Maholiya, and Bandiya - comprising an estimated population of 50,000 by 2018
Stand Alone Census Towns	Five CTs of Khatiyari, Kanchal Gosain, Nagla, Padampur and Kashirampur-comprising of an estimated population of 76,500 by 2018

1.12 The **35 peri-urban areas** of Uttarakhand, have an estimated population of 0.77 million (7.69 lakhs, in 2018) covering 1,47,500 households. Around 45 percent (65,650) of the households in these peri-urban areas have House Service Connections (HSCs) and receive water supply within their premises. However in Khatima region, Haridwar-Roorkee and Khatima region growth corridor, only 14 percent of the households have HSCs and many of the households have hand pumps (or use public stand posts) as the source of drinking water. The total amount of water produced in these areas is around 40 mld and the average water supply across the prioritized peri-urban areas is around 63 lpcd (this is water produced and may not reflect the amount of water supplied at the consumer end taking into consideration UfW). While there is no formal assessment undertaken on the NRW, it is estimated to be around 40%. Thus the supply at the consumer end is estimated to be between 30-40 lpcd. On an average, the duration of water supply is around 3 hours in these peri-urban areas. However, there are variations within the growth corridors. The residual terminal pressure is less than 3 meters. None of these growth clusters report any quality issues and none have metering of household connections. The average monthly tariff is around INR 150 based on flat charges (contingent on the pipe diameter and number of taps in the house) and the

collection efficiency is around 90%. It is estimated that the current O&M cost recovery is at around 40%. Ground water is the main source of water supply in the peri-urban areas (90%) and thus involve pumping through tube wells/hand pumps as the main means of water supply. There are very few peri-urban areas that operate surface water based schemes either through pumping or gravity (10%). Surface water based schemes are used in Khatiyari. The source of water, ground water, is sustainable and sufficient to cater to the needs of the peri-urban areas in the future. The following table summarizes the existing situation in the 35 peri-urban areas as against select MoUD service level benchmarks:

Water Service Delivery Indicator (Averages)	Growth Corridor I: Dehradun-Rishikesh	Growth Corridor II: Haldwani-Kathgodam	Growth Corridor III: Hardwar-Roorkee	Growth Corridor: Khatima	Stand Alone Census Towns
Percent of piped water supply (%) <i>MoUD Benchmark: 100%</i>	66	93	14	14	45
Per capita Supply (lpcd) <i>MoUD Benchmark: 135 lpcd</i>	64	42	100	51	58
Daily Supply Duration (Hours) <i>MoUD Benchmark: 24 hours</i>	2.4	5	6	6	3
Residual Terminal Pressure (Head in meters) <i>MoUD Benchmark: not defined</i>	2	2	2	4	3
Metering of Connections (%) <i>MoUD Benchmark: 100%</i>	0	0	0	0	0
Water Quality (% of samples meeting potable water standards) <i>MoUD Benchmark: 100%</i>	100	100	100	100	100

1.13 The Govt. of UK Department of Drinking Water and Sanitation has applied for IBRD loan no. 8805- IN from World Bank from financing of Uttarakhand Water Supply Program (UWSP) for Peri Urban Areas. The World Bank has approved its support of \$120 Million.

1.14 The detail of proposed 26 Census town out of total 35 Census towns and their respective tentative cost is mentioned below.

S.No	Name of District	Name of Census Town	Tentative cost in Rs Cr.
1	Dehradun	Jiwangarh	49
2	Dehradun	Central Hope Town	32
3	Dehradun	Natthan Pur	37
4	Dehradun	Mehu Wala Mafi	165
5	Dehradun	Natthuwa Wala	23
6	Dehradun	Rishikesh dehat	63
7	Dehradun	Gumaniwala	12
8	Dehradun	Kharak mafi	11
9	Dehradun	Pratitnagar	26
10	Tehri Garhwal	Dhalwala	34
11	Pauri Garhwal	Kashirampur	35
12	Udham Singh Nagar	Nagla	5
13	Udham Singh Nagar	Bandiya	20
14	Udham Singh Nagar	Umru Khurd	30
15	Udham Singh Nagar	Maholiya	35
16	Haridwar	Saidpura	12

17	Haridwar	Bangheri mahabatpur	20
18	Haridwar	Nagala Imarti	13
19	Haridwar	Dhandera	42
20	Haridwar	Maohanpur Mohammadpur	33
21	Haridwar	Bahadarabad	32
22	Haridwar	Jagjeetpur	65
23	Nainital	Kusumkhera	21
24	Nainital	Gaujajali Uttar	15
25	Nainital	Fatehpur Range	30
26	Nainital	Haldwani Talli	20
		Total	Rs 880 Cr.

1.15 The outcomes will be monitored as per the service level benchmarks (SLBs) recommended by the MoUD, GoI:

- Coverage of Water Supply connections - 100%
- Per Capita Supply of Water - up to 135 lpcd
- Extent of Non-revenue Water - Maximum 30% (SLB is however 20 percent)
- Extent of Metering - 100%
- Continuity of Water supplied –minimum 16 hours (SLB is however 24 hours)
- Efficiency in redressal of customer complaints - 80%
- Quality of Water Supplied -up to 100%
- Cost Recovery - 100% (operations costs)
- Efficiency in Collection of Water Charges - 90%
- Terminal pressure of 12 m during peak supply period (not included in the present SLBs of MoUD).

1.16 The Program interventions will support improvements in efficiency and sustainability of water supply services through metering, volumetric tariffs, NRW reduction, and improving O&M cost recovery. Following are the key features for service delivery improvements:

- A minimum 16-hour water supply meeting GoI water quality standards, supplied at a minimum pressure of 12m, for no less than 300 days in a year.
- 100% customer metering and volumetric tariffs.
- Sustainable water supply systems, which recover O&M costs through user charges with transparent GoUK subsidies, if any.
- Appropriate service delivery models, including PPP options, for accountable services.

1.17 The Authority intends to select, through an open and transparent tender process, one or more private sector partner (“**Contractor**”) for each of Census Town as set out in **Clause 1.13** above. Broadly, the Contractor shall provide the following services (“**Project**”) in a Project Areas as set out in **clause 1.14 & 1.15** above

- (a) Construction of new multi census town or single census town water supply schemes pre-determined by the Authority;
- (b) Construction of extensions to existing water supply schemes pre-determined by the Authority; and
- (c) Manning, operations, maintenance and tariff collection of the water supply schemes constructed as per (a) and (b) above for a period of five years after commissioning of such assets.

1.18 The Contractor shall incorporate under the Companies Act, 2013 for execution of the Project.

- 1.19** The Authority invites Applications, through this common EOI document, for pre-qualification of interested parties ("**Applicant(s)**") who fulfill the pre-qualification criteria as set out in section 2 and are interested in participating in one or more Projects. No Applicant shall submit more than 1 (one) Application to express interest in one or more Projects. For the avoidance of doubt, in the event, an Applicant submit its Application as a member of a consortium or an unincorporated partnership, such Applicant cannot be a member of a consortium or unincorporated partnership in any other Application. Except and otherwise the member is a expert of any specialized job.
- 1.20** The Contractor shall be responsible for engineering, procurement, construction, operation and maintenance of its Project in accordance with the provisions of a contract agreement ("**Contract Agreement**") to be entered into between the Authority and the Contractor. The total duration of the Project shall be for a period of at least 8 (Eight) years ("**Contract Period**"). The construction of all identified works under the Project shall be completed within a period of 3 (three) years from the date of signing of the Contract Agreement (including 6 (six) month of trial & testing) and operate and maintance the project for 5 (five) Year. The Contractor shall provide manning, operations and maintenance of assets, after completion of construction, for the remaining duration of the Project in accordance with the provisions of the Contract Agreement.
- 1.21** The Authority intends to make the following payments to the Contractor, in accordance with the provisions of the Contract Agreement, for its services:
- (a) 10% mobilization advance will be given to the contractor against security. Which will be recovered from running bills.
 - (b) Payment up to 70% of the capital cost of contract agreement of the Project paid over the construction period based on achievement of construction milestones.
 - (c) Equated balance payments during the operation and maintenance period in 3 (three) years to cover the remaining estimated capital cost of the Project .
 - (d) The cost of manning, operations, tariff collection and maintenance ("**O&M Costs**") of the water supply schemes constructed. The O&M Costs shall be paid at a pre-determined rate.

For the avoidance of doubt, the Contractor shall not be entitled to any other source of revenue including levy of user tariffs. It may be noted that the payment scheme proposed above is preliminary and is subject to change by the Authority.

2. PRE-QUALIFICATION CRITERIA

2.1 To be eligible for pre-qualification, an Applicant shall fulfill the Technical Capacity and the Financial Capacity individually or jointly , as indicated below:

- (A) **Technical Capacity:** For demonstrating technical capacity and experience (“**Technical Capacity**”), the Applicant shall, over the past 3 (three) financial years (i.e. FY 2017-18, FY 2016-17 and FY 2015-16), have:
- (i) paid for development of, or received payments for construction of one completed civil engineering construction project in Category 1 having an Adjusted Construction Cost, as defined in Clause 2.2, of at least 80% of the proposed contract value of Census Town/ Towns (if contractor submit bid for more than 1 town) ; and
 - (ii) paid for development of, or received payments for construction of completed civil engineering construction projects during the past 3 (three) financial years in Category 1 having a **cumulative** Adjusted Construction Cost, as defined in Clause 2.2, of at least 300percent of the proposed contract value of census town/ towns.
 - (iii) Contractor has experience for performance based operation & maintenance of water supply scheme for at least 18 months of 40 % of the proposed contract value of Census Town/ Towns (if contractor submit bid for more than 1 town)
- (B) **Financial Capacity:** The Applicant shall have:
- (i) A net worth of at least 100% of the proposed contract value of Census Town/ Towns (if contractor submit bid for more than 1 town) as on March 31, 2017; and
 - (ii) An average annual revenue of at least 100% of the proposed contract value of Census Town/ Towns (if contractor submit bid for more than 1 town)over the past five financial years.

For the purposes of this EOI, net worth (“**Net Worth**”) shall mean the sum of subscribed and paid up equity and reserves from which shall be deducted the sum of revaluation reserves, miscellaneous expenditure not written off and reserves not available for distribution to equity shareholders.

(C) **Bid Capacity:** Applicant shall have bid capacity for construction work is equal to or more than the total bid value of the work. The available bid capacity will be calculated as under:

Assessed Available bid capacity = $(A*N*1.5-B)$

Where,

A = Maximum value of civil engineering works executed in any one year during the last five years (updated to the price level of the financial year at the rate of 5% per year), taking into account the completed aswell as works in progress).

N = Number of years prescribed for completion of the works for which bids are invited (period up to 6 months to be taken as half-year and more than 6 months as one year).

B = Value, at the current price level, of existing commitments on on-going works to be completed during the period of completion of the works for which bids are invited.

Note: *The statements in Section IV showing the value of existing commitments of on-going works as well as the stipulated period of completion remaining for each of the works listed should be countersigned by the Engineer in charge, not below the rank of an Executive Engineer or equivalent.*

2.2 The Adjusted Construction Cost (“**Adjusted Construction Cost**”) of an eligible project shall be determined as the product of the construction cost of the project, and the adjustment factor based on the category of the project, as specified in Table below.

Category	Sectors	Adjustment Factor
1	Water supply (rural or urban) waste water/ sewerage, pipeline.	1.00

2.3 The entity, whether a single entity or a member of a consortium , joint venture or an unincorporated partnership, which is claiming any experience under Technical Capacity, should have:

- (i) in case claiming development experience of a project: held, in the company owning the project, a minimum of 26% (twenty-six per cent) equity and should have been designated as the lead member for such project, from the date of signing of the concession agreement till date of commercial operations of the project for which experience is being claimed;
- (ii) in case claiming construction experience of a project: held more than 50% (fifty percent) of the paid up and subscribed share capital of the company constructing the project.

2.4 Experience for any project or activity shall not be claimed by: i) two or more members of a consortium or an unincorporated partnership; or ii) two or more Applicants. In other words, no double counting by a consortium, an unincorporated partnership or Applicants in respect of the same experience shall be permitted in any manner whatsoever.

3. INSTRUCTION TO APPLICANTS

- 3.1 The Applicant shall provide all the informations sought under this EOI and otherwise sought. The Authority will evaluate only those Application that are received in the required formats and complete in all respects.
- 3.2 The Applicant shall pay to the Authority a sum of INR 50,000 (Rupees fifty thousand only) as the non-refundable cost of the pre-qualification process. An Applicant shall along with its Application, submit a demand draft issued by a Scheduled Bank drawn in favor of Managing Director Uttarakhand Peyjal Nigam payable at Dehradun of an amount as specified in this clause towards the cost of the pre-qualification process. At the end of this stage, the Authority expects to announce the pre-qualified Applicants who shall be eligible for participation in the next stage of the tender process.
- 3.3 The pre-qualification criteria mentioned in Clause 2.1 is the minimum eligibility criteria to participate in this tender process and to submit an expression of interest. Applicants should expect an enhancement of Technical Capacity and Financial Capacity requirements at a next stage of the tender process in accordance with the estimated capital cost and other requirements of the individual Projects.
- 3.4 This EOI requires an Applicant to satisfy either Technical Capacity or Financial Capacity for the purpose of pre-qualification. Notwithstanding anything contained in this EOI, in the next stage of this tender process, pre-qualified Applicants shall be expected to meet both Technical Capacity **and** Financial Capacity. The pre-qualified Applicants, who do not expect to meet both criteria on their own, may form suitable consortium for this purpose, in the next stage of this tender process, in accordance with the provisions of the RfQ and / or RfP.

3.5 **Schedule of the tender process**

The Authority shall Endeavour to adhere to the following schedule:

S No	Event Description	Date
1.	Issue of EOI	29 May 2018
2.	Last date for receiving queries	11 June 2018
3.	Pre-Application Conference	14 June 2018
4.	Authority response to queries by	18 June 2018
5.	Application Due Date	21 June 2018

3.6 Applicants shall submit their queries by post or email at the following address:

EXPRESSION OF INTEREST TO BUILD, OPERATE AND MAINTAIN RURAL WATER SUPPLY INFRASTRUCTURE ON HYBRID ANNUITY MODE	
Attention	Managing Director
Address	Uttarakhand Peyjal Nigam, 11-mohini raod, Dehradun (Uttarakhand) Pin code- 248001
Tel. no	+ 91-135-2678078
Email	upsvnn@gmail.com and gmswap2013.upsvnn@gmail.com

3.7 **Pre-Application Conference**

3.7.1 A pre-application conference of the interested parties shall be convened at the designated date, time and place. The date, time and venue of the pre-application conference shall be:

Date: 14 June 2018

Time: 1100 hours

Venue: The pre-application conference shall be held in Dehradun at the above address.

3.7.2 During the course of the pre-application conference, the Applicants shall be free to seek clarifications and make suggestions for consideration of the Authority. The Authority shall endeavor to provide clarifications and such further information as it may, at its sole discretion, consider appropriate for facilitating a fair, transparent and competitive bidding process.

4. GENERAL TERMS AND CONDITIONS

- 4.1 The Authority, at its sole discretion, reserves the right to withdraw this EOI or modify any part thereof at any stage.
- 4.2 Timing and sequence of events resulting from this EOI shall ultimately be determined by the Authority including issuance of a request for qualification ("RfQ") and / or a request for proposal ("RfP") to the pre-qualified Applicants under this EOI.
- 4.3 The Authority reserves the right to verify the particulars furnished by the Applicants independently and also reserves the right to reject any Application without assigning any reason thereof.
- 4.4 Any entity which has been barred by the Central / State Government, or any entity controlled by it, from participating in any project (BOT or otherwise), and the bar subsists as on the date of Application, shall not be eligible to submit an Application, either individually or as a member of a consortium or an unincorporated partnership.
- 4.5 The Applicants shall be responsible for all of the costs associated with the preparation of their Applications and their participation in the bidding process. The Authority will not be responsible or in any way liable for such costs, regardless of the conduct or outcome of the bidding process.
- 4.6 **Acknowledgement by Applicant**
- 4.6.1 It shall be deemed that by submitting the Application, the Applicant has:
- (a) made a complete and careful examination of the EOI;
 - (b) received all relevant information requested from the Authority;
 - (c) accepted the risk of inadequacy, error or mistake in the information provided in the EOI;
 - (d) agreed to be bound by the undertakings provided by it under and in terms hereof.
- 4.6.2 The Authority shall not be liable for any omission, mistake or error in respect of any of the above or on account of any matter or thing arising out of or concerning or relating to the EOI or the bidding process, including any error or mistake therein or in any information or data given by the Authority.
- 4.7 **Right to accept or reject any or all Applications**
- 4.7.1 Notwithstanding anything contained in this EOI, the Authority reserves the right to accept or reject any Application and to annul the bidding process and reject all Applications, at any time

without any liability or any obligation for such acceptance, rejection or annulment, and without assigning any reasons therefor. In the event that the Authority rejects or annuls all the Applications, it may, in its discretion, invite all eligible Applicants to submit fresh Application hereunder.

4.7.2 The Authority reserves the right to reject any Application if:

- (a) at any time, a material misrepresentation is made or uncovered, or
- (b) the Applicant does not provide, within the time specified by the Authority, the supplemental information sought by the Authority for evaluation of the Application.

If the Applicant is a consortium or unincorporated partnership, then the entire consortium or unincorporated partnership may be disqualified/ rejected.

4.7.3 In case it is found during the evaluation or at any time before signing of the Concession Agreement or after its execution and during the period of subsistence thereof, including the concession thereby granted by the Authority, that one or more of the pre-qualification conditions have not been met by the Applicant, or the Applicant has made material misrepresentation or has given any materially incorrect or false information, the Applicant shall be disqualified forthwith if not yet appointed as the Concessionaire either by issue of the LOA or entering into of the Concession Agreement, and if the Applicant/SPV has already been issued the LOA or has entered into the Concession Agreement, as the case may be, the same shall, notwithstanding anything to the contrary contained therein or in this EOI, be liable to be terminated, by a communication in writing by the Authority to the Applicant, without the Authority being liable in any manner whatsoever to the Applicant and without prejudice to any other right or remedy which the Authority may have under this EOI, RfQ, RfP, the Concession Agreement or under applicable law.

5. SUBMISSION OF APPLICATIONS

5.1 Contents of Application and Sealing and Marking of Applications

5.1.1 The Applications shall be furnished as per the formats provided in annexures of this EOI. The Application shall include the following:

Format for Application	Annexure
Information To Be Provided	Format No.
Letter of Submission	ANNEXURE I
Format for Submission of Application	ANNEXURE II
Format for summary of Technical Capacity	ANNEXURE III
Format for Project Information Sheet	ANNEXURE IV

5.1.2 The Applicants shall submit the Application as set out in Clause 5.1 and seal it in an envelope and mark the envelope as "ORIGINAL APPLICATION". Each page thereof shall be initialed in blue ink by the authorised signatory. Two copies of the Application shall be placed in a separate envelope and marked "COPY OF DOCUMENTS". The Applicant shall also submit to the Authority in a separate envelope a true copy of the Application in a pen drive.

5.1.3 The envelopes as specified in Clause 5.1.2 shall be placed in an outer envelope, which shall be sealed. All the envelopes shall clearly bear the following identification:

**“BUILD, OPERATE AND MAINTAIN PERI URBAN WATER SUPPLY
INFRA STRUCTURE ON MODE IN ONE OR MORE DISTRICTS OF
UTTARAKHAND”**

and shall clearly indicate the name and address of the Applicant. In addition, the Application Due Date should be indicated on the right hand top corner of each of the envelopes.

5.1.4 Each of the envelopes shall be addressed to:

Managing Director
Uttarakhand Peyjal Nigam.
11- mohini road,
Dehradun (Uttarakhand)
Pin code- 248001
Telephone: +91 – 0135- 2678078
Email Address- upsynn@gmail.com

5.1.5 If the envelopes are not sealed and marked in accordance with Clause 5.1, the Authority assumes no responsibility for the misplacement or premature opening of the contents of the Application submitted.

5.1.6 Applications submitted by fax, telex, telegram or e-mail shall not be entertained and shall be rejected.

5.2 The Applications should be submitted on or before 1700 hours IST on 21 June 2018 ("**Application Due Date**") in the manner and form as detailed in this EOI. The Applications received by the Authority after the specified time on the Application Due Date shall not be eligible for consideration and shall be summarily rejected.

5.3 The Authority may, in its sole discretion, extend the Application Due Date uniformly for all the Applicants.

5.4 The Applications shall be valid for a period of not less than 60 days from the Application Due Date. The validity of the Applications may be extended by mutual consent of the respective Applicants and the Authority.

5.5 The Application and all correspondence and documents shall be written in English language. Supporting documents and printed literature furnished by the Applicant with the Application may be in any other language provided that they are accompanied by translations of all the pertinent passages in the English language, duly authenticated and certified by the Applicant. Supporting materials, which are not translated into English, may not be considered. For the purpose of interpretation and evaluation of the Application, the English language translation shall prevail.

5.6 Confidentiality

Information relating to the examination, clarification, evaluation and recommendation for the Applicants shall not be disclosed to any person who is not officially concerned with the bidding process or is not a retained professional advisor advising the Authority in relation to, or matters arising out of, or concerning the bidding process. The Authority will treat all information, submitted as part of the Applicant, in confidence and will require all those who have access to such material to treat the same in confidence. The Authority may not divulge any such information unless it is directed to do so by any statutory entity that has the power under law to require its disclosure or is to enforce or assert any right or privilege of the statutory entity and/ or the Authority or as may be required by law or in connection with any legal process.

5.7 Proprietary data

All documents and other information supplied by the Authority or submitted by an Applicant to the Authority shall remain or become the property of the Authority. Applicants are to treat all information as strictly confidential and shall not use it for any purpose other than for preparation and submission of their Application. The Authority will not return any Application or any information provided along therewith.

5.8 Correspondence with the Applicant

Save and except as provided in this EOI, the Authority shall not entertain any correspondence with any Applicant in relation to acceptance or rejection of any Application.

ANNEXURE I – LETTER OF SUBMISSION
(To be printed on the Applicant’s letter head)

Ref No:

Dated:

To
Managing Director
Uttarakhand Peyjal Nigam,
11- mohini road,
Dehradun (Uttarakhand)
Pin code - 248001

Subject: Submission of DESIGN BUILD, OPERATE AND MAINTAIN PERI URBAN WATER SUPPLY INFRA STRUCTURE ON MODE IN ONE OR MORE DISTRICTS OF UTTARAKHAND

Sir,

Being duly authorized to represent and act on behalf of and having thoroughly examined all the conditions of the invitee for the Request for Expression of Interest (EOI) dated ... May 2018 and ref:/ World Bank- PIU/ Dated..... for the captioned Project, I/we hereby submit our Application and the relevant information hereunder.

1. I / We have examined in detail and have understood, and abide by all the terms and conditions stipulated in the above referenced EOI invite issued by the Authority. Our Application is consistent with all the requirements set out in EOI.
2. I / We believe that we satisfy, Technical Capacity / Financial Capacity / both Technical Capacity and Financial Capacity as set out in Clause 2.1 of the EOI meet(s) all the requirements as specified in the EOI document and are/ is qualified to submit an Application.
3. I / We hereby express our interest in the following Project(s) that are proposed to be undertaken under the DBO mode:

S.No	Name of Project/ Cluster

4. The information submitted in our Application is complete, strictly as per the requirements set out in EOI and is correct to the best of our knowledge and understanding. We shall be solely responsible for any errors or omissions or misrepresentations in our Application.
5. We have read the provisions of the EOI and confirm that these are acceptable to us. All necessary clarifications, if any, have been sought for by us and duly clarified.
6. I/We also authorize the Authority or their authorized representative to approach individuals, employers and firms to verify our submitted details, competence and general reputation.
7. We understand that the Authority will be at liberty to finalize project parameters and issue of RfQ and / or RfP, after assessing the response from the Applicants.
8. This call for EOI does not constitute a solicitation and the Authority, at its sole discretion, reserves the right to modify/withdraw/rescind the EOI.
9. We have not been blacklisted by any State Government(s)/Central Government or its agencies in India or abroad.

The undersigned declares that the statements made and the information provided in this Application is complete, true and correct in every detail.

Signed by Authorized Signatory,

[Name]

For and on behalf of the {Applicant}

Seal

[Note: In case an Applicant comprises more than one legal entity, such as members of a consortium or an unincorporated partnership, authorized signatories of all such entities shall be required to sign Annexure I along with the full name of the respective legal entities]

ANNEXURE II – FORM AT FOR SUBMISSION OF APPLICATION

Name of the Applicant	
Legal status of the Applicant (Company/Partnership/Proprietorship etc.)	
Head office address	
Address for communication	
URL of the entity’s website	
Contact person	
Telephone and mobile number(s)	
Fax	
Email	
Date of incorporation/registration	dd/mm/yyyy Submit Registration/ Incorporation documents
Date of commencement of commercial operations	dd/mm/yyyy
No. of employees	Technical Staff: Management Staff Support Staff
Activities undertaken in the last 3 (three) years preceding the Application Due Date	Submit an organization profile including product/service offerings, major clients etc
GST Registration details	GSTIN Submit GST registration documents
Average annual revenue over the past three financial years* i.e. FY 2017-18, FY 2016-17, FY 2015-16, in INR crore	
Net Worth as on March 31, 2018* in INR crore	

* The audited financial statements for the last 3 (three) financial years have to be provided and an Auditor’s Certificate from the Statutory Auditors of the firm has to be supplied

[Note: In case an Applicant comprises more than one legal entity, such as members of a consortium or an unincorporated partnership, each such legal entity shall furnish details as per the above table]

ANNEXURE III – FORMAT FOR SUMMARY OF TECHNICAL CAPACITY

S.No.	Category of project	Sector	Project Title	Actual Construction cost	Adjusted construction Cost	Owner of project	Role of Applicant in Project	Date of award of project to applicant	Date of Commissioning of project

Note: Details of only those project that meet the Technical Capacity requirement as per Clause 2.1 of this EOI shall be provided in the above table. Further details about the projects listed above shall be provided as per the **Format for Project Information Sheet** provided in the following page.

ANNEXURE IV – FORMAT FOR PROJECT INFORMATION SHEET

Item	Particulars of the project
Name of the Applicant(s)	
In case the experience cited was undertaken as part of some consortium, the percentage equity holding of the Applicant(s) in that consortium	
Category of project ³	
Sector	
Project Title	
Actual construction cost in accordance with Technical Capacity requirement of this EOI	
Adjusted Construction Cost ³	
Project owner	
Project location	
Name, Address and Reference Contact (Name, Designation and Contact Details) of Client for which project was undertaken	
Date of award of project to Applicant	
Date of completion/ commissioning	
Project Description (not exceeding 150 words)	
Role of the Applicant(s) and nature of services provided (not exceeding 150 words)	

Note:

Applicants are required to provide documentary evidence of their experience. In absence of such proof, Uttarakhand Peyjal Nigam reserves the right not to consider the information provided by Applicants for evaluation. All projects cited should be within the last 3 (three) years i.e. not prior to April 1, 2015.
