

## **Small Industries Development Bank of India**

**EXPRESSION OF INTEREST (EoI)** Preparation of Strategy towards development, training,  
Implementation of ISO 14001:2004

**Contract Reference No 01/2010/11**

SIDBI hereby invites Expression of Interest from consultants / agencies for Preparation of Strategy towards development, training, Implementation of ISO 14001:2004

- 1.1 Draft Terms of Reference are provided below.
- 1.2 Applicants are invited to register their interest by submitting the EoI format provided below along with their Capability Statement (not exceeding 15 pages) and declaration of undertaking as enclosed in Annexure 1
- 1.3. The Capability Statement should include:
  - your prior qualification and experience in conducting similar assignments on MSME Sector (briefs may be attached alongwith evidences and references) ( Annexure 2),
  - Your prior experience on projects funded by International Agencies
  - your proposed 'preliminary' methodology for carrying out the assignment based on the details provided in the TORs
  - A description of your organizational infrastructure, proposed team and project management arrangements to carry out the assignment alongwith their CVs as per the enclosed formats ( Annexure 3 & 4).
  - Your knowledge of Indian financial system and MSME sector and credit flow to the sector.
  - Your financial strength alongwith last three year financial evidences ( Income tax returns, Profit & Loss A/c and Balance Sheet, etc)
2. Interested consultant / agency / experts with the above background and experience are requested to submit Expression of Interest (in the prescribed format) furnishing therewith detailed information on the parameters detailed in Para 1.3 above highlighting, inter-alia, their experience, expertise, infrastructure,

networking/collaborating arrangements and job accomplishments etc., besides broad contours of methodology envisaged to be followed in carrying out the proposed assignment so as to reach us on or before January 07,2011 by 12.00 midnight (IST).

3. Only short listed agencies will be approached to submit detailed proposal (Invitation to Tender);
4. Expressions of Interest may be submitted by post or email to the Contract Officer as under :-  
 Shri. Amit Sethi,  
 Manager,  
 Economic Planning and Research Cell,  
 Small Industries Development Bank of India  
 Ground Floor, Videocon Tower,  
 E-1, Rani Jhansi Road,  
 Jhandewalan Extension New Delhi 110 051  
**Tele :-** 011 – 23682474-77  
**E-mail:** amitsethi@sidbi.in

**Important:**

**Eols by email should clearly mention ‘Eol - Contract No ‘01/2010/11’ in the subject line.**

**ONLY SHORT LISTED APPLICANTS WILL BE CONTACTED FOR THE NEXT PHASE OF EVALUATION.**

Any form of canvassing/lobbying/influence/query regarding short listing, status, etc will be a disqualification.

**Critical Information Summary**

1. Last date for submission of Expression of Interest (EOI): January 07,2011 by 12.00 midnight (IST).
2. Two hard copies and one soft copy (on a CD) need to be submitted in one sealed cover labeled “Expression of Interest - Preparation of Strategy towards development, training, Implementation of ISO 14001:2004” at the following address:  
 Shri. Amit Sethi,  
 Manager,  
 Economic Planning and Research Cell,  
 Small Industries Development Bank of India  
 Ground Floor, Videocon Tower,  
 E-1, Rani Jhansi Road,  
 Jhandewalan Extension New Delhi 110 051  
**Tele :-** 011 – 23682474-77  
**E-mail:** [amitsethi@sidbi.in](mailto:amitsethi@sidbi.in)

3. Please note that all necessary information needs to be provided. Incomplete information may lead to disqualification / rejection.
4. The respondents should quote the Contract Reference Number in all their correspondences, in future. This number should be quoted throughout the life-cycle of the contract / consultancy work and in all references, correspondence, reporting, etc.

### **IMPORTANT NOTES**

#### **Costs to be borne by Respondents**

All costs and expenses incurred by Respondents in any way associated with the development, preparation, and submission of responses, including but not limited to the attendance at interview, meetings, discussions, demonstrations, presentations, etc. and providing any additional information required by SIDBI, will be borne entirely and exclusively by the Respondent.

#### **No Legal Relationship**

No binding legal relationship will exist between any of the Respondents and SIDBI until execution of a contractual agreement.

#### **Recipient Obligation to Inform Itself**

The Recipient must conduct its own investigation and analysis regarding any information contained in the document and the meaning and impact of that information.

#### **Evaluation of Offers**

Each Recipient acknowledges and accepts that SIDBI may in its absolute discretion apply selection criteria specified in this document for evaluation of proposals for short listing / selecting the eligible consultancy organization with such weight assessment as decided internally. The EOI is only seeking interest at this stage. SIDBI is not bound to contract out this activity and reserves the right to cease the process at any stage it may deem fit.

#### **Errors and Omissions**

Each Recipient should notify SIDBI of any error, omission, or discrepancy found in this document.

#### **Acceptance of Terms**

A Recipient will, by responding to SIDBI with an EOI, be deemed to have accepted the terms of reference.

#### **Lodgment of EOI**

- EOI must be submitted to the specified address before the specified closing date and

time indicated

- All copies of EOI and attachments must be provided in a sealed envelope.
- If the response to this notice does not include all the information required or is incomplete, the EOI is liable to be rejected.
- SIDBI reserves the right to modify the terms and conditions of assignment, if considered necessary.

### **Late Bids**

EOI received after the deadline for submission will be treated as “received late” and shall not be considered at all for short listing.

### **EOI validity period**

Responses must remain valid and open for evaluation according to their terms for a period of at least six (6) months from the last date of submission of responses. In exceptional circumstances, SIDBI may solicit the respondent’s consent to an extension of the period of validity. A respondent granting the request will not be permitted to modify the EOI.

**Respondents should provide details of their Fax, email and full address(s) to ensure that replies could be conveyed promptly.**

### **Notification**

SIDBI will notify **only short-listed Respondents** in writing as soon as practicable about the outcome of the EOI and the EOI process. SIDBI is not obliged to provide any reasons for any such acceptance or rejection.

### **Disqualification**

Any form of canvassing/lobbying/influence/query regarding short listing, status, etc will be a disqualification.

## **Draft Terms of Reference**

1. **Project Title** Preparation of Strategy towards development, training, Implementation of ISO 14001:2004

2. **Background**

Small Industries Development Bank of India (SIDBI), set up in 1990 under an Act of Parliament, is the principal financial institution for the promotion, financing and development of MSME sector in India. Corporate governance has all along been the underlying guiding principle of the working and functioning of SIDBI. As a part of corporate governance, the Bank remains committed to sustainability by promoting environmentally responsible lending to the MSME sector.

Realizing that environment is one of the most important issues that need to be addressed at the global level, SIDBI has embarked upon the mission of 'Green, Clean and Energy Efficient Indian MSMEs' by integrating environment protection measures in its lending to MSME sector. For example, SIDBI has stipulated a necessary pre-condition before sanctioning the credit, wherein the enterprise has to obtain No-Objection Certificate (NOC) of 'Consent to Establish' from the respective State Pollution Control Board (PCB) concerned wherever required, before the enterprise takes up the implementation of the project. Further, it has also to obtain a NoC for 'Consent to operate', being the final Clearance from the PCB; before permitting the unit to commence commercial production. The final clearance once granted is subject to review and renewal at periodic intervals based on monitoring / inspection by the PCBs to ensure that the unit is actually meeting the prescribed norms and parameters. Besides, SIDBI also provide credit (e.g. under the World Bank Line of Credit) to MSMEs conforming, among others, to E&S standards. The sustainable financing of SIDBI is facilitated by various lines of credit (LOCs) from bilateral/multilateral institutions.

The Bank has also undertaken a number of environment friendly measures within the organization. For example, replacing the present bulb/tube lights with CFL lights; greater use of Video conferencing to save travel cost and energy saving; Installing the solar heater system in the Bank's office/residential building which could be used as an alternative source of energy to generate power; water conservation measures like rain water harvesting; use of recycled paper in official noting /records; double sided printing of all official notes/ memos, etc.

Thus, SIDBI through its environment protection oriented lending assistance to MSMEs and also by fostering environment measures internally, endeavors to be an environmentally responsible financial institution and strengthen the culture of 'doing the right thing environmentally'. In furtherance of this agenda, SIDBI plans to undertake implementation of environment friendly measures under ISO 14000 family of standards and obtention of ISO 14001 certification. Of the particular interest in this family of standards is ISO 14001 which outlines the generic requirements for an Environment Management System (EMS) based on the well-established management principle of Plan-Do-Check-Act. Under ISO 14001 standard, SIDBI would assess the impact of its operation on the environment, understand how those impacts can be managed and set clear objectives and targets to continuously improve on the environment performance. The ISO 14001 would be adopted initially at the Bank's Head Office at Lucknow, 5 Zonal Offices at Lucknow, Delhi, Mumbai, Kolkata and Chennai and 5 representative branch offices under these 5 Zonal offices.

#### **Scope of work for Consultant /Agency**

The consultant/Agency is expected to examine the role of SIDBI as the financial institution for MSME sector in terms of the following:

- ◆ Review of current environment framework of SIDBI in its credit process and its implementation
- ◆ An Environment Risk analysis of SIDBI's direct credit portfolio
- ◆ Review of environment protection / housekeeping of measures within the organization
- ◆ Enlist the various promotion and developmental initiatives undertaken by SIDBI to further the Environment Management system (EMS) so as to ensure its integration to the normal lending process.
- ◆ Consultant shall ensure that Environment Management system shall be documented, established and implemented after which a training of Internal Audit shall be commenced which ensures that the personnel's at various locations are selected and Certified as qualified trained auditors and allowed to conduct the audits at the following SIDBI Office

- a. Delhi Office ,Delhi
- b. Northern Zonal Office, Delhi
- c. Branch Office, Delhi
- d. Head Office, Lucknow

- e. Uttar Pradesh Zone Office, Lucknow
- f. Branch Office, Lucknow
- g. Mumbai Office ,Mumbai
- h. Western Zone Office, Mumbai
- i. Branch office, Mumbai
- j. Southern Zone office, Chennai
- k. Branch office, Chennai
- l. Eastern Zone Office, Kolkata
- m. Branch office, Kokata

- ◆ Suggest measures required, if any, to strengthen the EMS as per the ISO 14001 standards.
- ◆ Facilitate the obtention of ISO 14001 certification to SIDBI

The detailed Phase - wise activities of the Consultant along with apprx. times required for each action plan are given below:

#### PHASE I: INITIAL ENVIRONMENT REVIEW

DURATION: 1 Month

#### STEP 1:

- Conduct Initial Environment Review (IER) which would help SIDBI to know where it is and in establishing baseline for EMS. The IER, in general would focus on 4 key areas

4 key areas:

- Evaluation of existing environment management systems
- Examination of relevant legislation
- Identification of significant impacts
- Feedback from incidents and accidents

#### INITIAL ENVIRONMENTAL REVIEW- WHERE ARE WE NOW?

Specific areas that may be relevant include:

- Identification and measurement of CO2 emission
- Resource consumption (Energy, Water, paper etc)
- Waste minimisation/ recycling initiatives
- Use of hazardous materials/ products
- Transport policy of the organisation

- Nature conservation and cultural heritage
- Nature and recording of complaints
- Visual impact/ noise/ odours
- Environmental commitment of suppliers
- Impacts of use and disposal of products
- Environmental effects of investment policies

STEP 2: Based on IER, the consultant will prepare draft environment management system Policy & measurable environmental targets which needs to be approved by CMD/BOARD of SIDBI

PHASE II: GAPS IDENTIFICATION AND PREPARATION OF EMS HAND BOOK

DURATION: 1 Month

STEP 3:

After the approval of EMS policy by SIDBI which will also show its commitment to ISO14001, the consultant will visit the SIDBI's offices/places which are proposed to be covered under ISO14001 certification and identify the applicable environmental legislation and other EMS requirements in each office. This will be in the form of EMS gap analysis

STEP 4:

The consultant shall develop the EMS manual /Handbook which shall consist of roles and responsibilities as mentioned under ISO14001

PHASE III: EMPOWERMENT OF SIDBI STAFF

DURATION: 3 Month

STEP 5:

The consultant shall hold the first awareness training of Management representatives of each office at one location or through Video Conferencing

STEP 6:

The consultant shall calculate the environmental aspects of SIDBI's operations and their associated impacts

STEP 7:

The consultant shall prepare the environmental objectives and procedures based on the gaps identified with completion of Aspect/Impact .This would also cover internal banking procedures i.e. marketing, project finance and lending procedures



Phase IV - shall cover the start of certification audit process which will be conducted by certification body in two stages

Stage I readiness review of documents

Stage II certification audit against ISO 14001:2004

## **Competency and Expertise requirement**

- Competency of Agency and/or the team of consultants
  - Team of Consultant with minimum experience of 7 years in similar projects and excellent communication skills, preferably having similar experience in the banking sector and can conduct test for EMS legislation like earth pit test, light test, sound test etc. (enclose the evidences of the experience alongwith references)
  - Preference to those with experience / exposure in the areas of Environment Risk Management (assessment, documentation or impact evaluation), banking with special thrust on MSME sector.
  - Knowledge of designing Environment Management System Policy and Experience in the field of ISO 14001
  - Thorough awareness of EMS requirements
  - Sound knowledge of drafting of all four levels of documents like EM,EMP, etc
  - Sound Knowledge of identifying legal requirements
  - Sound knowledge of lab test for compliance of legal requirements
  - Experience of successful certification of ISO 14001:2004
  - Shall be certified Lead Auditor by EMAS or equivalent
  - Understanding of TOR

## **Evaluation Process**

The evaluation will be carried out through a two stage process. The first stage will be the Technical Scoring based on competency requirements indicated above followed by the Commercial Scoring stage.

### **▮ Technical bid scoring**

For evaluation and selection of consultants through Technical bid, the Relative Technical Score (RTS) method will be used for short listing of technical bids as detailed below:

Relative Technical Score for each Implementing Agency: (A)

$$RTS = T / \text{Thigh} * 100$$

Where,

RTS = Relative score for Technical Proposal of each Implementing Agency

T = Technical score of the current proposal

Thigh = Highest technical score obtained

#### ▮ **Commercial bid scoring**

The Relative Commercial Score (RCS) for each Implementing Agency will be calculated as given below:

Relative Commercial Score for each Implementing Agency: (B)

$$RCS = L1 / L * 100$$

Where,

RCS = Relative score for Commercial Proposal of each Implementing Agency

L = Amount quoted by the current proposal

L1 = Lowest Amount quoted by L1 proposal

#### **Calculation of Combined Score for the Final Selection:**

For the final selection, a combined score based on techno-commercial evaluation will be arrived at as follows:

$$\text{Combined score} = \text{RTS (A)} * 0.70 + \text{RCS (B)} * 0.30$$

The proposal having highest combined score will be declared as the preferred bidder and would be considered eligible for award.

S. No.	Criteria	Weights
1	<p>➤ Competency of Agency (evidences and references about the experience) and/or the team of consultants</p> <ul style="list-style-type: none"> <li>• Team of Consultant with minimum experience of 7 years in similar projects and excellent communication skills preferably having similar experience for the banking sector and con conduct test for EMS legislation like earth pit test, light test, sound test etc.</li> <li>• Preference to those with experience / exposure in the areas of Environment risk management (assessment, documentation or impact evaluation), banking with special thrust on MSME sector.</li> </ul>	40

2	› knowledge of designing Environment Management System Policy and Experience in the field of ISO 14001	40
3	› Understanding of TORs	20
	<b>Total</b>	<b>100</b>

### **Payment Term**

- The payment schedule will be finalized at the time of contract signing.

### **Timeframe**

Assignment will be a term contract for six months.

### **Project Monitoring and Reporting Arrangement**

- In order to monitor the progress of the project, a Project Advisory Committee (PAC) shall be constituted with members from EPRC and PMD, SIDBI, NDHO. The PAC shall oversee and address various issues pertaining to the project and shall meet as and when required at the mutual convenience of SIDBI and the Consultant / Agency. As the project will be implemented under the overall supervision of EPRC, New Delhi, the GM, EPRC, shall be the Chairperson of PAC and act as the Nodal Officer from the SIDBI's side.
- The Consultant / Agency shall submit fortnightly progress report to the Nodal Officer of SIDBI. The progress report shall be discussed in the PAC meetings.
- At the time of submission of the draft report, the Consultant / Agency shall make a detailed presentation to SIDBI.
- The final report shall be submitted after incorporating the comments of SIDBI.

### **9. Time Schedule**

<b><u>Activity</u></b>	<b><u>When</u></b>
Invitation of EoI	December 07,2010
Deadline for EoI	January 07,2011
ITTs to be issued to short listed bidders	Second week of January ,2011

Evaluation of Bids	First week of March 2011
Appointment of Consultant(s) / Firm	Second week of March ,2011

The entire assignment would be required to be completed within Six months from the date of signing of the contract. The Consultant / Agency shall, accordingly, work out and provide activity-wise time schedule for completion of the project along with requisite data and other related information complete in all respects be made available to SIDBI by September 15, 2011. Five copies of the final Report in hard print as well in CD in page-maker form to be provided to SIDBI by the scheduled date. Delay in submission of final Report beyond September 15, 2011 (with a grace period of 15 days i.e. up to September 30,2011, solely at the discretion of SIDBI) shall attract a suitable penalty as deemed fit by SIDBI.

#### **10. Selection Process**

This contract will be assessed on the following selection process:

**Phase 1- Pre-Qualification based on Eols (on the basis of criteria specified in Annexure II)**

**Phase 2- Technical and Commercial Evaluation**

After Phase -1 evaluation, successful respondents will be invited through Invitation To Tender (ITT) to submit their technical and commercial bids for further evaluation. Relevant information will be provided to the short listed candidates at this stage.

**These are draft ToRs EPRC will provide final ToRs at ITT stage**

**Application Form to be considered for:****Project Title - Preparation of Strategy towards development, training, Implementation of ISO 14001:2004****Contract No – 01/2010/11**

*Please enter the information requested in the spaces provided. Application from separate legal entities of worldwide organisations or multi nationals is acceptable, provided the organisations are eligible to operate in competition with each other. Questions 1, 2, 3 & 4 must be with regards to the lead company only. Please note that the only additional information should be attached to this application form that is requested in paragraphs 5 - 8.*

**1: Your Details**

Your Name (Company or Individual)

Parent Company (If Applicable)

Your Address ( with Country name)

Contact Name

Contact Telephone Number

E-Mail Address

**2. Information Required for Statistical Purposes Only**

Country of Registration (Companies)

Nationality (Application from Individuals)

Number of Employees (as appropriate)

**3. Years in Business**

How many years have you been in business?

**4. Turnover**

What was your company's total annual turnover in INR\* for the last three years?

One year ago?

Two years ago?

Three years ago?

What was your turnover in INR\*, for services similar to those required here, for the last three years?

One year ago?

Two years ago?

Three years ago?

Over the last three years what percentage of your turnover has been or is currently with SIDBI?

One year ago?

Two years ago?

Three years ago?

**\* Please also indicate the exchange rates as well as the reference date.**

#### **5. Criteria for Assessing your Expression of Interest.**

Your Completed Application will be assessed against the following criteria. You will need to address this in your Capability Statement. Please note that SIDBI will also take into account the financial standing of applicants during the Expression of Interest assessing process.

<b>S. No.</b>	<b>Criteria</b>	<b>Weights</b>
1	<p>➤ Competency of Agency (evidences and references about the experience) and/or the team of consultants</p> <ul style="list-style-type: none"> <li>• Team of Consultant with minimum experience of 7 years in similar projects and excellent communication skills preferably having similar experience for the banking sector and conduct test for EMS legislation like earth pit test, light test, sound test etc.</li> <li>• Preference to those with experience / exposure in the areas of Environment risk management (assessment, documentation or impact evaluation), banking with special thrust on MSME sector.</li> </ul>	40
2	<p>➤ knowledge of designing Environment Management System Policy and Experience in the field of ISO 14001</p>	40

3	Understanding of TORs	20
	<b>Total</b>	<b>100</b>

## 6. Capability Statement

Please attach a Capability Statement, of no more than 15 A4 pages in font size 12, which in addition to 5 above, illustrates your skills and experience of providing the service under this Contract Notice.

## 7. CV(s) of Key Personnel

Please provide, as an annex to this form, abridged CV(s) of no more than two pages (for each individual) in respect of key personnel who would be expected to provide the services listed in the Contract Notice as per the format.

## 8. Conflict of Interest

You must disclose in your response, details of any known circumstances that will, or might give rise to a conflict of interest. Where a potential conflict is identified, you should state how you intend to avoid such conflict.

It is difficult to precisely define a "Conflict of Interest" and there are numerous situations in which it can arise between SIDBI, their employees, former employees and suppliers. The most common of which are:

- Suppliers and / their subcontractors not declaring their involvement in a project "design phase" when bidding separately for the "implementation" phase;
- Suppliers who are working with or whose personnel are working with SIDBI staff or partner governments or organisation;
- Suppliers who are filling or whose personnel are filling a post, which would more usually be filled by a SIDBI member of staff e.g. advisory role, team leader etc.;
- Suppliers who have friends or relatives working for SIDBI or partner governments or organisations;
- SIDBI staff on Special Leave or former SIDBI employees associating with suppliers bidding for SIDBI contracts in a country or region or sector where the employee has knowledge of the programme or project;

We understand suppliers may not know at this time whether "Conflict of Interest" is an issue that they need to address. Consequently it will be raised again when the Invitation to tender documents are sent out to those short-listed.

## Closing Date for Applications.

This application together with the requested supporting documents must be submitted, by January 07,2011 (by 1200 midnight IST) to the address specified in the Contract Notice. (No further information or company literature is required).

**Annex 1: Sample of project list**

Project name	Project description	Country or region	Project duration	Client	Financing institute	Consulting fees (Euro) (*)

Note:

(\*) In case of a consulting association only the applicant's part shall be indicated. Alternatively to the consulting fees the total expert-input can be indicated distinguishing clearly between expatriate and local staff.

The Consultant is not bound to the above format and may use his standard project list. However, the information provided should at least include the items specified above.

**Annex 2: Sample of company's staff list**

Name of person	Age or Year of birth	Professional experience (years)	Employment with company (years)	Function within company (years)	Specialisation	Languages

**Note:**

Only the Consultant's key staff and permanent professional staff as well as long-term associates shall be included in the list.

The Consultant is not bound to the above format and may use his standard staff lists. However, the information provided should at least include the items specified above.

## ANNEX 3 : SAMPLE CURRICULUM VITAE

### PERSONAL INFORMATION

Name [ **SURNAME, other name(s)** ]  
Nationality  
Date of birth [ Day, month, year ]

### EDUCATION AND TRAINING

- Dates (from – to) [ Add separate entries for each relevant course you have completed, starting with the most recent. ]
- Name and type of organization providing education and training
  - Principal subjects/occupational skills covered
- Title of qualification awarded

### WORK EXPERIENCE

- Dates (from – to) [ Add separate entries for each relevant post occupied, starting with the most recent., add brief description of most important projects ]
- Name and address of employer
- Type of business or sector
- Occupation or position held
- Main activities and responsibilities

### LANGUAGE SKILLS

- MOTHER TONGUE [ **Specify mother tongue** ]
- OTHER LANGUAGES** [ **Specify language** ]
- Reading skills [ Indicate level: excellent, good, basic. ]
  - Writing skills [ Indicate level: excellent, good, basic. ]
  - Verbal skills [ Indicate level: excellent, good, basic. ]

**Annex 4: Declaration**

The parties to the awarding procedure emphasize the importance of a free, fair and competitive awarding procedure that precludes abuse. In this respect this company thus far has not offered or granted any inadmissible advantages either directly or indirectly to public servants or other persons in connection with its bid, nor shall it offer or grant any such incentives or rewards in the present awarding procedure or, in the case of an award, during the subsequent execution of the Agreement it shall inform its employees of their respective duties and their commitment to observe this self-imposed obligation and to abide by the laws of the Federal Republic of Germany.

(Place) ....., this ..... day of .....

Name of company .....

Signature(s)

Note: This declaration has to be signed by each partner of an association