



Request for Proposal

Impact Assessment of Bureau's Scheme National Mission for Enhanced Energy Efficiency (NMEEE) for the period of FY 2021- 22 to FY 2025-26

**Last Date of Submission
June XX, 2025**

Bureau of Energy Efficiency
Ministry of Power, Government of India
4th Floor, Sewa Bhawan,
R.K. Puram, Sector-1, New Delhi -110066

1. Letter of Invitation

1.1 Advertisement

The Bureau of Energy Efficiency, Ministry of Power intends to undertake impact assessment of its scheme namely 'National Mission for Enhanced Energy Efficiency (NMEEE) for the period of FY 2021-22 to FY 2025-26. In this regard, Request for Proposals are sought from leading firms /organizations having relevant sectoral experience & requisite infrastructure to undertake such assessment.

The scope of work, format for Earnest Money Deposit, Performance Security by way of Bank Guarantee and Letter proforma have been described in Clause 3, 9, 10 and 7.1 respectively. Request for Proposal (RFP) must be submitted on the GeM portal within 21 days from the date of publication on Bureau's Website.

The submission of the RfP document must be accompanied with the payment of bid processing fee of Rs. 5000/- (Rupees five thousand only) and refundable Earnest Money Deposit of Rs. 200,000/- (Rupees Two Lakhs only). The payment will be accepted in the form of crossed demand draft drawn on any scheduled commercial bank/ Bank Guarantee, payable at par in New Delhi in favour of Bureau of Energy Efficiency, New Delhi. (Payment details attached at **Annexure III**)

It is mandatory to submit the proposal through **GeM** only and also request to submit the information in proposal as per desired format. The Proposals are liable to be rejected if information is not provided in the desired formats/modification in format. Other mode of submission shall not be accepted.

For further details please contact the undersigned.

Sd/-
Secretary
Bureau of Energy Efficiency
4th floor, Sewa Bhawan,
R K Puram New Delhi – 110066
Tel : 91-11-26766700,

1.2 Critical Information

| | | |
|-----|--|---|
| 1. | Availability of RFP | T0 |
| 2. | Date of pre-bid meeting | T0+10 Days |
| 3. | Last date for receipt of proposal | T0+21 Days |
| 4. | Mode of selection | Open tender on GeM |
| 5. | Type of proposal required | Technical + Financial (L1 Basis) |
| 6. | Language for submitting proposal & reports | English |
| 7. | Validity | Proposals must remain valid for 120 days after the closing date of RFP submission |
| 8. | Lead time for commencement of work | 15 days from the date of issue of work order |
| 9. | Submission of RFP | Secretary, Bureau of Energy Efficiency, 4 th Floor, Sewa Bhawan, Sector -1, R.K. Puram, New Delhi-110066 |
| 10. | Contact details | Bureau of Energy Efficiency, 4 th Floor, Sewa Bhawan, Sector -1, R.K. Puram, New Delhi-110066 |
| 11. | Email address for any clarification/ information | a.srivastava22@beeindia.gov.in / vivek.negi@beeindia.gov.in ; |
| 12. | Phone No. | 011- 26766700-841 |

2. Background Information

2.1 About BEE

The mission of Bureau of Energy Efficiency (BEE) is to develop policy and strategies with a thrust on self-regulation and market principles, within the overall framework of the Energy Conservation Act (EC Act), 2001 with the primary objective of reducing energy intensity of the Indian economy. This will be achieved with active participation of all stakeholders, resulting in accelerated and sustained adoption of energy efficiency in all sectors.

The setting up of Bureau of Energy Efficiency (BEE) provides a legal framework for energy efficiency initiatives in the country. The Act empowers the Central Government and in some instances the State Governments to:

- Notify energy intensive industries, other establishments, and commercial buildings as designated consumers.
- Establish and prescribe energy consumption norms and standards for designated consumers.
- Direct designated consumers to designate or appoint certified energy manager in charge of activities for efficient use of energy and its conservation.
- Get an energy audit conducted by an accredited energy auditor in the specified manner and intervals of time.
- Furnish information with regard to energy consumed and action taken on the recommendation of the accredited energy auditor to the designated consumer.
- Comply with energy consumption norms and standards, and if not so, to prepare and implement schemes for efficient use of energy and its conservation.
- Prescribe energy conservation building codes for efficient use of energy and its conservation in commercial buildings →State Governments to amend the energy conservation building codes to suit regional and local climatic conditions. →
- Direct owners or occupiers of commercial buildings to comply with the provisions of energy conservation building codes.
- Direct mandatory display of label on notified equipment and appliances.
- Specify energy consumption standards for notified equipment and appliance.
- Prohibit manufacture, sale, purchase and import of notified equipment and appliances not conforming to standards.

2.2 About Scheme ‘National Mission for Enhanced Energy Efficiency.

NMEEE as a key component of the National Action Plan for Climate Change and it reflects the GOI’s increased and renewed emphasis on achieving energy efficiency in Indian economy. This mission by promoting innovative policy and regulatory regimes, financing mechanisms, and business models seeks to not only create, but also sustain, markets for energy efficiency in a transparent and time bound manner.

The scheme comprises mainly two components.

- Perform, Achieve and Trade (PAT) scheme.
- Financing of Energy Efficiency

1. **Perform Achieve and Trade (PAT)** - A market-based mechanism to make improvements in energy efficiency in energy intensive large industries and facilities more cost effective by certification of energy savings that could be traded.

2. Financing Energy Efficiency Program

1. Perform Achieve and Trade (PAT)

Perform, Achieve and Trade (PAT) is a regulatory instrument to reduce Specific Energy Consumption in energy intensive industries, with an associated market-based mechanism to enhance the cost effectiveness through certification of excess energy saving which can be traded.

PAT mechanism is designed to achieve the targeted specific energy consumption norms and standards through energy efficiency measures in energy intensive industries and establishments. Energy consumption norms and standards are set by the Bureau of Energy Efficiency (BEE). Such energy intensive industries and establishments are identified as Designated Consumers (DCs), who are required to designate an energy manager and file energy consumption returns every year and conduct mandatory energy audits regularly.

The Specific Energy Consumption (SEC) is calculated on a Gate-to-Gate concept. The DC's achievements is based on the difference between the specific energy consumption in the baseline year and specific energy consumption in the target year covering different forms of net energy going into the boundary of the designated consumer's plant and the products leaving it over the relevant cycle.

2. Financing Energy Efficiency Program

Financing energy efficiency programme (FEEP) is to provide support to financing mechanisms for energy efficiency investment through 'Energy Efficiency Financing platform' and Framework for energy Efficiency Economic Development'.

3. Scope of Work and Deliverables

3.1 Scope of Work

The overall objective of this end of scheme review is to provide BEE/MoP and other stakeholders with sufficient and accurate information to make an informed judgement about the past performance of the scheme – its efficiency, effectiveness, lessons learnt and overall impact. The major four attributes to be included in scope of work are as below:

1. Establish the extent to which the scheme has achieved its stated objectives (i.e. the level of achievement of activities, outputs, outcomes in terms of energy savings, GHG emission reduction, financial mechanism for energy efficiency and the overall objectives as stated in the SFC memorandum), taking into account its target stakeholder needs and how these activities are fulfilling the energy efficiency needs of the respective sector, national priorities and policies such as contribution to India's NDCs.
2. Evaluate the scheme implementation strategies and processes/structures, including assessment of the institutional and operational set-up with the view to make recommendations on whether they were the best to achieve the Scheme objectives;
3. Assessment of the impact of this study with respect to parallel going on schemes in the similar field running by other concerned ministries, departments/agencies.
4. Identify key lessons, barriers and propose practical recommendations with preparation of framework document for next course of action.
5. Analyse the scope for scheme's periodic monitoring and evaluation to assess the challenges, bottlenecks and new initiatives required, whenever necessary.
6. Identification and documentation of best practices and externalities of scheme implementation along with mapping environmental and social safeguards in scheme design.
7. Documentation of output outcome monitoring framework for this scheme, pre-defined templates for the same are provided at **Annexure 1A and ToR at Annexure 1B.**

The impact assessment study should clearly bring out the impact of the activities carried out under the scheme during 2021-26 and the activities which are needed to be continued during the next plan along with the rationale for continuing the activities. The study should highlight achievement of the scheme and barriers experienced in 2021-26 and accordingly propose measures to be considered for development of effective implementation mechanism.

A comprehensive impact assessment should be undertaken to evaluate impacts/achievements of all the activities and deliverables. Component wise broad but not limited scope of work is as follows.

- a) Review of actual achievements of activities, deliverables vis a vis the fund allocation for NMEEE as per cabinet note/SFC for FY 2021-26.
- b) Review of various activities taken up by BEE, MoP under NMEEE.
- c) Conduct an objective analysis and estimation of energy savings & GHG emission reduction achieved due to initiatives under NMEEE with the following points:
 1. Savings (Energy terms), Savings (Monetary Terms)
 2. Avoided Capacity
 3. Capacity Building of Stake holders
 4. Outreach in terms of awareness
 5. Technological up gradation
 6. Adoption of new technologies
 7. Market Transformation (Indicators to be defined)
 8. Mobilization of funds for energy efficiency
 9. Market development
 10. Institutional strengthening
 11. Promotion of funds for energy efficiency
 12. Coverage in terms of units/plants
 13. International cooperation and replication of best practices
 14. Coverage in terms of Sectors
 15. Impact on other national schemes/programs by BEE, SDAs, other ministries etc.
 16. India's NDCs and other climate related goals and its linkages.
 17. Gaps in achievement of outcomes, Key bottlenecks and challenges, best practices/case studies, observations and recommendations as per the templates attached at Annexure 1-B
 18. Sample Format as mentioned in Annexure 1-A.

3.2. Deliverables

- Detailed Action Plan & Methodology for conducting the assessment, including questionnaire (if proposed) (Hard +Soft)
- Detailed Template/Structure of the report (defined by the agency) (Hard +Soft).
- Fortnightly Presentations on the progress of work.
- Draft Reports in the approved template (5 Copies, Spiral Bound) (Hard +Soft).
- Final Reports in the approved template (10 Copies, Coloured Hard Bound) (Hard +Soft)
- Presentation of the final outcome study.

4. Timeline

The time period for delivery of final version of impact assessment report is approximately 75 days from the date of award of work. However, the timelines may be extended depending on the requirement of BEE. The tentative time-line vis-a-vis the activities to be carried out is provided below.

| S. No | Deliverables | Timelines (date of award on contract) |
|-------|--|--|
| 1. | <ul style="list-style-type: none">• Submission of Action plan/methodology for study including questionnaires if proposed.• Submission of proposed structure of report | 15 days |
| 2. | Submission of Draft Report | 45 days |
| 3. | Submission of Final Report for comments of BEE | 60 days |
| 4. | Submission of final report and presentation after incorporating all suggestions from BEE | 75 days |

5. Selection Process

5.1 Pre-Qualification Criteria

The Firm/Agency interested is being considered for this task preferably shall fulfil the following criteria:

- Should be a firm/company registered/incorporated in India. The organization registered under Companies Act or Societies Registration Act shall be eligible to apply. Subcontracting after award of RFP is not allowed.
- Consortium is permitted. The consultancy firm / agency may involve one more agency only as partner for meeting work, experience and MoU for such must be submitted. The consortium partner should not have been black-listed by any Central / State Government or Public-Sector Undertakings.
- The organization (in case of consortium, the lead-member of the consortium) must be registered/incorporated in India, with at least 10 years of experience in the field of consultancy services/research area.
- Experience of providing consultancy/ transaction advisory in field of energy efficiency/ energy/ power sector/decarbonization/climate change in the last five years on at least 5 projects, preferably with Central/State government or Multilateral agency which involved technical analysis of projects.
- Annual turnover of minimum Rs. 1 crores in each of the last three years. i.e. FY 2022-23, 2023-24 and 2024-25.

- The Consultant shall have following as minimum team strength of 5 personnel:

| S. No. | Work Profile | Area of expertise | No. | Minimum years of experience |
|--------|--------------|---|-----|-----------------------------|
| 1 | Team Leader | Accredited Energy Auditor | 1 | 15 |
| 2 | Team Member | Certified Energy Auditor | 1 | 10 |
| 3 | Team Member | Climate Change/Decarbonization/Power/Energy | 1 | 5 |
| 4 | Team Member | Statistical Analyst | 1 | 5 |
| 5 | Team Member | Economists (M.A./M.Sc. in Economics, Master in Business Economics/Administration) (Experience in taxation related projects) | 1 | 5 |

- The team should be led by a member with over 15 years of extensive experience techno-economic analysis in energy sector.
- Team Leader/authorized member should be reporting to BEE as per requirement as communicated by BEE.
- Should not be involved in any major litigation that may have an impact of affecting or compromising the delivery of services as required under this contract.
- Should not be black-listed by any Central / State Government / Public Sector Undertaking in India.

Note:

- If consultancy firm /agencies do not meet any of the above listed criteria, their proposals will not be considered for further evaluation.
- Consultancy firm /Agencies meeting above listed criteria are required to submit evidences (i.e. details / documents of audited financial statements of last 3 years) in support – otherwise proposal may be disqualified.

5.2 Preliminary Scrutiny

Preliminary scrutiny of the proposal will be made to determine whether they are complete, whether required process fee has been furnished, whether the documents have been properly signed, and whether the bids are in order, and whether the bidder meets all the pre-qualification criteria. Proposals not conforming to these requirements will be rejected.

5.3 Evaluation of Proposals

The number of points to be given under each of the evaluation criteria is:

- The Bidder should take enough care to submit all the information sought by the Authority in the desired formats. The Proposals are liable to be rejected if information is not provided in the desired formats. The Technical Proposals will be evaluated out of 100 marks.
- The Technical Proposals, which are found acceptable in accordance with point (i) above, shall be deemed as responsive proposals. The Bidders with such responsive proposals and securing score of minimum 70 marks would be considered as Technically Qualified Bidders and would be eligible for next stage of the Bidding Process i.e. Financial Evaluation.
- In the case of key personnel their CVs should be submitted duly signed by the respective personnel and countersigned by the Authorized Signatory of the firm. Their experience need not necessarily be with the firm where they are currently employed.
- In the case of firms, their past experience will be considered only in those cases where they have been awarded contracts, either on individual basis or as a JV. The experience of firms where they have only been associated as Sub-Firm/agencies for any assignment will not be considered for evaluation.
- The firms should substantiate their claims of experience by providing copies of the relevant contracts along with the names, designations, email addresses and contact numbers of their Clients.

BEE will evaluate proposals and will give marks to all the successful bidders from preliminary scrutiny on the following basis:

| S. No | Qualification Criteria | | Marks Allotted |
|----------|--|---|-----------------------|
| A | Organization Experience | | Max. Marks: 70 |
| | Nos. of project experience in energy efficiency/energy/power/Climate change/Decarbonization. | More than 5 projects | 20 |
| | Experience in impact assessment studies related to government schemes. | 5-6 projects | 10 |
| | | 7-10 projects | 20 |
| | | More than 10 projects | 30 |
| | Years of experience in Energy Efficiency/Climate change/Decarbonization (Yrs.) | On pro-rata basis | 20 |
| B | Team Experience | | Max. Marks: 20 |
| | Team Leader | Minimum 5 Nos. of relevant projects (On | 8 |

| | | | |
|--------------------|-----------------------------------|--|---|
| | | pro-rata basis) | |
| | Team Member | More than 3 Nos. of relevant projects. | Max 12 marks (3 Marks for each member) |
| C | Methodology/plan of action | | Max 10 |
| B1 | Understanding of the assignment | | 5 |
| B2 | Action plan and methodology | | 5 |
| Total Marks | | | 100 |

5.4 Mode of Selection

LCS method will be followed for this tender. If any selected agency refuses to take the assignment. The next agency will be requested to match the L1 cost.

6. Instructions to Bidders

6.1 Procedure for Submission of Proposal

The Bidder must comply with the following instructions during preparation of Proposals:

1. The Bidder is expected to carefully examine all the instructions, guidelines, terms and condition and formats of the Request for Proposal. Failure to furnish all the necessary information as required by the Request for Proposal or submission of a proposal not substantially responsive to all the requirements of the Request for Proposal shall be at Bidder's own risk and will be liable for rejection.
2. The proposal shall be in indelible ink and shall be signed by the Bidder or duly authorized person(s). The letter of authorization shall be indicated by written power of attorney and shall accompany the proposal.
3. Only detailed proposals complete in all respect and in the forms indicated shall be treated as valid.
4. No Bidder is allowed to modify, substitute, or withdraw the Proposal after its submission.

6.2 Cost of RfP

The Firm/Agency shall bear all costs associated with the preparation and submission of its RfP, including cost of presentation for the purposes of clarification of the bid, if so desired by the purchaser. BEE will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the tendering process.

6.3 Validity of Bids

The Bids submitted shall remain valid for a period of 120 days from the date of bid submission. If the bid validity given in the received bid is lesser than the period specified, the Bid will be rejected as non-responsive. The Successful Bidders should extend the price validity till the completion of the order or as requested by BEE.

6.4 Modification and Withdrawal of Bids

The Bids once submitted may not be allowed to be modified or amended or withdrawn at any cost.

6.5 Acceptance and Withdrawal of Bids

The right of final acceptance of the bids is entirely vested with the BEE who reserves the right to accept or reject, any or all of the tenders in full or in parts without assigning any reason whatsoever. There is no obligation on the part of Tender Inviting Authority to communicate with rejected Bidders. After acceptance of the Bid by BEE, the bidder should have no right to withdraw his tender or claim higher price. BEE may also reject any bid for reasons such as change in scope of work, new technologies, and lack of anticipated financial resources, court orders, accidents or calamities and other unforeseen circumstances.

6.6 Earnest Money Deposit

An Earnest Money Deposit (EMD) of Rs.2,00,000 (Rupees two lakhs only) is to be deposited by the bidders by way of **Online mode** in favour of "Bureau of Energy Efficiency" payable at New Delhi (Payment details attached at **Annexure III**). The EMD shall normally remain valid for a period of forty-five days beyond the final bid validity period. Bids received without EMD will be rejected.

EMD will not carry any interest and EMD will be forfeited if:

1. A bidder withdraws from the tender, or amends its tender, or impairs, or derogates from the tender in any respect within the validity period of his tender.
2. If a bidder having been notified of the acceptance of his tender by BEE during the period of its validity.
3. Fails to furnish the performance security within the specified period for the due performance of the contract, or
4. Fails or refuses to accept/execute the contract.

EMD furnished by the unsuccessful bidders would be returned without any interest on completion of the tender process, i.e., after award of the contract. EMD of the successful bidder would be returned without any interest after receipt of the Performance Security as per the terms of the contract.

Micro, Small and Medium Enterprises may avail the exemption from EMD as per GFR 2017. In such cases, the agencies should submit all the relevant documents otherwise the bid will be rejected.

6.7 Bid Processing Fee

All bids must be accompanied by a bid processing fee of INR 5,000 (INR Five Thousand only) through online mode by any nationalized/ scheduled bank payable at par in New Delhi, in favour of “Bureau of Energy Efficiency, New Delhi”.

6.8 Contents of the RfP

The Firm/Agency is expected to examine all instructions, forms, terms & conditions and Statement of Work in the RfP documents. Failure to furnish all information required or submission of an RfP Document not substantially responsive to the RfP in every respect will be at the Firm/Agency's risk and may result in the rejection of the RfP.

The proposals would be scrutinized on the basis of the criterion set in para 5.1 above.

The specific experience of the Agency/Firm would be checked on the basis of the following information provided along with the prescribed documents:

1. Evidence of satisfying all the minimum eligibility criterion listed out in Para 5.2
2. Evidence of having successfully carried out similar assignments.
3. Evidence of having successfully carried out assignments with Government.
4. Sufficient size, organization, and management to carry out the entire project.
5. Specialized skills and creativity related to the assignment.

However, BEE in its sole/absolute discretion can apply whatever criteria deemed appropriate in determining the responsiveness of the Proposal submitted by the respondents.

6.9 Language of Bids

The Bids prepared by the Firm/Agency and all correspondence and documents relating to the bids exchanged by the Firm/Agency and BEE, shall be written in the English language, provided that any printed literature furnished by the Firm/Agency may be written in another language so long the same is accompanied by an English translation in which case, for purposes of interpretation of the bid, the English translation shall govern.

6.10 Pre-Bid Meeting

1. Pre-Bid Meeting will be convened at the designated date as mentioned specified by the BEE.
2. During the course of Pre-Bid Conference(s), the Bidders may seek clarifications and make suggestions for consideration of the BEE.
3. The BEE shall endeavor to provide clarifications and such further information as it may, in its sole discretion, consider appropriate for facilitating a fair, transparent and competitive Bidding Process.
4. All enquiries from the Bidders relating to this RFP notice document must be submitted to BEE before the deadline mentioned in this document
5. These queries should also be emailed at vivek.negi@beeindia.gov.in, a.srivastava22@beeindia.gov.in

6.11 Opening of Bid

The Bidder or his authorized representative may be present at the time of opening of bid on the specified date. In case of unscheduled holiday on the closing/opening day of bid, the next working day will be treated as scheduled prescribed day of closing/opening of bid; the time notified remaining the same.

6.12 Performance Security

The successful bidder would be required to deposit an amount equivalent to 3% of the value of the contract. This should be furnished through the Bank Guarantee/ Demand Draft in favour of "Bureau of Energy Efficiency", payable at Delhi (Details attached at **Annexure III**). The Performance Security amount furnished by Demand Draft/Bank Guarantee will be returned without interest within 60 days of completion of all obligations under the contract. The Performance Security will be returned after adjusting for penalties on account of deficiencies, if any, in the performance of the contract. The Performance Security in the form of Bank Guarantee/ Demand Draft for the period of 8 months plus 60 days claim period, which can be further extended for another 6 months on mutual consent. The bid shall remain valid for a period of 120 days from the date of bid submission.

6.13 Liquidated Damage

If delay in completing any of the above written deliverable/Submissions (in section 3), a showcase notice may be served to the Agency/Consultant and liquidated damages (LD) would be imposed @0.5% per week or part of a week for which delay has occurred subject to a maximum of 10% of the contract value. LD may be attributed to the successful bidder for each payment milestone as defined in the contract. Recoveries through such Liquidated Damages are to be without any prejudice to the other remedies as available to BEE under the terms of the contract.

6.14 Conflict of Interest

The Firm/Agency who is selected for the work will have to maintain the confidentiality of the information compiled. In no case the Firm/Agency would be allowed to use the data or share the information with anyone else, except for the BEE. BEE shall hold the copyrights over any of the data collected or compiled during the course of the awards.

6.15 Confidentiality

BEE require that recipients of this document to maintain its contents in the same confidence as their own confidential information.

6.16 Authorized Signatory (Consultant)

The "Consultant" as used in the RfP shall mean the one who has signed the RfP document forms. The Consultant should be the duly Authorized Representative of the Firm/Agency, for which a certificate of authority will be submitted. All certificates and documents (including any clarifications sought and any subsequent correspondences)

received hereby, shall, as far as possible, be furnished and signed by the Authorized Representative.

In case of consortium, letter of association signed by the authorized signatory of the member firms authorizing the lead firm should be attached in original. The power or authorization, or any other document consisting of adequate proof of the ability of the signatory to bind the consultant shall be annexed to the bid. BEE may reject outright any proposal not supported by adequate proof of the signatory's authority.

6.17 Integrity Pact

All the participating bidders are compulsorily required to enter into Pre-bid/ Pre contract Integrity Pact in the prescribed format failing which the tender will be summarily rejected (Copy of the Integrity Pact is enclosed as per **Annexure II**). The validity of this Integrity Pact shall be from the date of its signing and extend up to the complete execution of the contract to the satisfaction of both the parties. In case BIDDER is unsuccessful, this Integrity Pact shall expire after six months from the date of signing of the contract.

6.18 Queries on RfP

Agency requiring any clarification on this document may send a query received not later than the dates prescribed by the BEE in Clause 1.2 of this RfP.

6.19 Non-disclosure of Contract Document

Except with the written consent of the BEE, the firm/agency shall not disclose the contract or any provision, specification, plan, design, pattern, sample or information thereof to any third party.

6.20 Amendment of RfP

At any time prior to the last date for receipt of bids, BEE, may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective Firm/Agency, modify the RfP Document by an amendment. In order to provide prospective Firm/Agency reasonable time in which to take the amendment into account in preparing their bids, BEE may, in its sole discretion, extend the last date for the receipt of Bids and/or make other changes in the requirements set out in the Invitation for RfP. Any amendment/clarification issued on RfP will be in writing and will be published on the BEE's website to make it accessible to all Bidders and shall be deemed to be a part of this document.

6.21 Power of Attorney

Registered Power of Attorney executed by the Firm/Agency in favour of the Principal Officer or the duly Authorized Representative, certifying him/her as an authorized signatory for the purpose of this RfP.

6.22 Issuance of Letter of Award

The Letter of Award (LoA) of RFP will be issued to the Successful Bidder by BEE. This would be treated as commencement of the work for the successful bidder.

6.23 Conditions for consortium/Outsourcing

1. The Firm/Agency may involve one more agency only as partner for meeting work experience and MoU for such must be submitted.
The bidder can't change the consortium partner during the course of the project.
2. In case of consortium, the lead partner must submit the letter of association (agreement). Non-submission of agreement documents of the consortium partners will lead to disqualification.
3. In case of any such discrepancy found, bid for the both consortium and firm will be rejected. The consortium partner should not be involved in any major litigation that may have an impact of affecting or compromising the delivery of services as required under this contract. If at any stage of qualifying process or during the course of the contract, any suppression / falsification of such information is brought to the knowledge, BEE shall have the right to reject the proposal or terminate the contract, as the case may be, without any compensation to the consortium of agency/firm/institution. BEE shall only deal with the lead member for all the purposes.

6.24 Document Comprising the RfP

The proposal prepared by the Firm/Agency shall comprise the following components:

1. Form 1: Letter Pro-forma
2. Form 2: Minimum Eligibility
3. Form 3: Team Composition
4. Form 4: CV of team members
5. Form 5: List of Projects implemented by the bidder organization
6. Form 6: Prior Experience
7. Form 7: Comments and Suggestions
8. Form 8: Approach and Methodology
9. Form 9: Declaration Letter
10. Bid processing fee of INR 5,000 (INR Five Thousand only)
11. Earnest Money Deposit of INR 200,000 (INR Two Lakh Only)
12. Financial Proposal

6.25 Terms of Payment

- Payment authority will be Bureau of Energy Efficiency.
- The successful bidder shall raise the invoice in favour of "The Secretary, Bureau of Energy Efficiency, 4th Floor, Sewa Bhawan, Sector- 1, R.K. Puram,

New Delhi”.

- Payment will be made after the end of timeline mentioned below. The payment breakdown will be as follows:

| S. No. | Payment Terms upon submission and acceptance of | Payment Percentage |
|---------------|--|---------------------------|
| 1 | Draft Report comprising detailed methodology | 30% |
| 2 | Final Report for obtaining comments of BEE | 30% |
| 3 | Final Report with incorporation of all comments (10 copies hard bound) | 40% |

*Note: BEE shall process the payment after the receipt of the invoice at the end of each phase. However, the work schedule shall be adhered and shall not be affected due to payment related process.

- GST will be paid extra as per the rules of Government of India and should be cleanly spelt in the financial bid.
- No extra amount shall be paid on any ground whatsoever.

6.26 DISCLAIMER

BEE and/or its officers, employees disclaim all liability from any loss or damage, whether foreseeable or not, suffered by any person acting on or refraining from acting because of any information including statements, information, forecasts, estimates or projections contained in this document or conduct ancillary to it whether or not the loss or damage arises in connection with any omission, negligence, default, lack of care or misrepresentation on the part of BEE and/or any of its officers, employees.

Except where otherwise specified in the contract, the decision of BEE shall be final, conclusive and binding on all the agencies upon all questions relating to the meaning of the RFP specifications, scope of work, terms & conditions etc. herein before mentioned or thing whatsoever in any way arising or relating to the contract, specifications, terms & conditions, orders, or otherwise concerning the works or the execution or failure to execute the same, whether arising, during the progress of the work or after the completion or abandonment thereof.

Further, BEE shall not be responsible for non-receipt / non-delivery of the proposals due to any reason whatsoever.

7. Forms for the Technical Proposal

Proposal is to be submitted in the following format along with the necessary documents as listed. The Proposal shall be liable for rejection in the absence of requisite supporting documents. Proposal should provide information against each of the applicable requirements. In absence of the same, the Proposal shall be liable for rejection.

7.1 Form 1: Letter Pro-forma

To,
Secretary,
Bureau of Energy Efficiency
4th Floor, Sewa Bhavan,
R.K. Puram Sector-I, New Delhi -110066

Sub: Hiring of Agency for undertaking study for Impact Assessment of Bureau's Scheme National Mission for Enhanced Energy Efficiency for the period of FY 2021-22 to FY 2025-26

Sir,

The undersigned Agency, having read and examined in detail all the RfP documents in respect of appointment of an Agency for BEE for the said assignment, do hereby express their interest to provide their Services as specified in the scope of work

2. Correspondence Details

| | | |
|---|---|--|
| 1 | Name of the Agency | |
| 2 | Address of the Agency | |
| 3 | Name of the contact person to whom all references shall be made regarding this tender | |
| 4 | Designation of the person to whom all references shall be made regarding this tender | |
| 5 | Address of the person to whom all references shall be made regarding this tender | |
| 6 | Telephone (with STD code) | |
| 7 | E-Mail of the contact person | |
| 8 | Fax No. (with STD code) | |

3. Document forming part of Proposal

We have enclosed the following:

- Form 1: Letter Pro-forma
- Form 2: Minimum Eligibility
- Form 3: Team Composition
- Form 4: CV of team members

- Form 5: List of Projects implemented by the bidder organization
- Form 6: Prior Experience
- Form 7: Comments and Suggestions
- Form 8: Approach and Methodology
- Form 9: Declaration Letter
- Bid processing fee of INR 5,000 (INR Five Thousand only)
- Earnest Money Deposit of INR 200,000 (INR Two Lakh Only)
- Registered Power of Attorney executed by the Agency in favour of the Principal Officer or the duly Authorized Representative, certifying him/her as an authorized signatory for the purpose of this RFP.

4. We hereby declare that our Proposal is made in good faith and the information contained is true and correct to the best of our knowledge and belief.

Thanking you,

Yours faithfully,

(Signature of the Officer)

Name :
 Designation :
 Seal :
 Date :
 Place :
 Business Address :

Witness:

Signature

Name

Address

Date

Agency:

Signature

Name

Designation

Company

Date

7.2 Form 2: Minimum Eligibility

[Agency should not include the figures of the subcontractors for Form-2]

| | | | | |
|------|--|--|------------|------------|
| | | | | |
| 1.1 | Name of Agency | | | |
| 1.2 | Year of Registration/Incorporation | | | |
| 1.3 | Year of Registration/Incorporation in India* | | | |
| 1.4 | Number of Employees in India as on March 31, 2025 | | | |
| | | FY 2022-23 | FY 2023-24 | FY 2024-25 |
| 1.5 | Net Worth (INR Crore) ** | | | |
| 1.6 | Annual Turnover (INR Crore) ** | | | |
| 1.7 | Annual Profits (INR Crore) ** | | | |
| 1.8 | Name of Consortium Partner, if any | | | |
| 1.9 | Lead Member of Consortium, if any | | | |
| 1.10 | Organization' experience in the field of consultancy services/research (in case of consortium, the lead-member of the consortium) | XX Years | | |
| 1.11 | Agency's experience in in field of energy efficiency/ energy/ power/decarbonization/climate change (Last five years) | XX projects with Central/State Governments and Multilateral Agencies | | |
| 1.12 | Availability/Expertise of team as per in para 5.1 | Yes/No | | |
| 1.13 | Blacklisting by Central/State Government/PSUs | Yes/No | | |
| 1.14 | Litigation that may impact on deliverables | Yes/No (If yes, please provide detail thereof) | | |

* Enclose a copy of Registration document (including registration certificate)

**Enclose a copy of Audited Financial Statement as annexures to form 2 with respect to information furnished in 1.5 to 1.7

***Enclose copy of the self-attested supporting documents as annexures to form 2 with respect to information to information furnished in 1.10 to 1.11.

Witness:

Signature

Name

Address

Date

Employee:

Signature

Name

Designation

Organization

Date

7.3 Form 3: Team Composition

| S. No | Name of Person | Role (Team Leader/ Team Member/ Other) ¹ | Year of relevant experience ² | List of projects (Consultancy/ Energy Efficiency/Research) ³ | List of other relevant projects ⁴ | Signature ⁵ |
|-------|----------------|--|--|--|--|------------------------|
| | | | | 1. 2. 3. | 1. 2. 3. | |
| | | | | 1. 2. 3. | 1. 2. 3. | |

¹Role of the person in this project, please define only separate roles to individuals, as mentioned in this document.

² Year of relevant experience and same should also be depicted in the attached resume of the person.

³ List of projects related to energy efficiency and same should be depicted in the attached CV of the person

⁴ Signature should be original and signed in ink by all team members and also attach self-attested copy of PAN card/Passport etc. for verification of signature. Bid will be rejected, if signatures are not valid/not signed in original.

7.4 Form 4: CVs of Proposed Team

[Provide CVs of the proposed team for undertaking the current assignment, especially of the Proposed Head of the Agency. The CVs to be included in the following format:]

NAME:

1. Proposed Position:
2. Name of Firm:
3. Name of Staff:
4. Date of Birth:
5. Nationality:
6. Education:

| Name of Degree | Year | Name of Institution |
|----------------|------|---------------------|
| | | |
| | | |

7. Membership of Professional Associations:
8. Other Training:
9. Countries of Work Experience:
10. Languages:

| Language | Speak | Read | Write |
|----------|-------|------|-------|
| | | | |
| | | | |

13. Employment Record:

| Firm | From – To Date | Designation / Role |
|------|----------------|--------------------|
| | | |
| | | |
| | | |

14. Projects undertaken

| Name | Role & Description | Duration (From-To) | Organization Name | Nature of the project (Energy Audit/Impact Assessment/Consultancy /Research) |
|------|--------------------|--------------------|-------------------|--|
| | | | | |
| | | | | |
| | | | | |

15. Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes me, my qualifications, and my experience. I understand that any willful misstatement described herein may lead to my disqualification or dismissal, if engaged.

Signature

Date

[Signature of staff member or authorized representative of the staff]

Day/Month/Year Full name, Signature and designation of authorized representative.

7.5 Form 5: List of Projects implemented by the bidder Organization

| Type of Project | List of Project |
|---|-----------------|
| Consultancy Projects/Assessments of Government's schemes/Research Experience | 1 - |
| | 2 - |
| | 3 - |
| International Relevant Experience | 1 - |
| | 2 - |
| | 3 - |
| Energy Efficiency/Power/Energy/Decarb onization/Projects | 1 - |
| | 2 - |
| | 3 - |
| Data Analytics, Any Other relevant Project | 1 - |
| | 2 - |
| | 3 - |

7.6 Form 6: Prior Experience

[Using the format below, provide information on each assignment for which your Organization, and each associate for this assignment, was legally contracted either individually as a corporate entity or as one of the major companies within an association, for carrying out services similar to the ones requested under this assignment. Agency should give information on the similar areas of design as indicated.

A. Prior Experience in projects (preferably similar experience)

| | |
|---|--|
| Name of project: | |
| Objectives of the Project: | |
| Nature of project: | |
| Description of project: | |
| Financial Component | |
| Technical Component | |
| Country: | |
| Location within country: | |
| Duration of the project: | |
| Name of Employer along with contact details | |
| Start date (month/year): | |
| Completion date (month/year): | |
| Name of associated Consultants, if any: | |
| No of professional staff-months provided by associated Consultants: | |
| Name of senior professional staff of your firm involved and functions performed. | |
| Approx. value of the Assignment/job provided by your firm under the contract (in Rupees): | |
| Description of actual Assignment/job provided by your staff within the Assignment/job: | |

Note:

Enclose copy of the self-attested supporting documents as annexures to form 3 with respect to information furnished above.

Use separate tables for separate experience.

Witness:
Signature
Name
Address

Date

Employee:
Signature
Name
Designation
Organization
Date

7.7 Form 7: Comments and Suggestions

[Suggest and justify here any modifications or improvement to the scope of work, tasks to be performed, timeline, deliverables, payment terms etc. to improve performance in carrying out the Assignment. Agency can suggest deleting some activity or adding another, or proposing a different phasing of the activities. Such suggestions should be concise and to the point.]

(Maximum two pages)

7.8 Form 8: Approach and Methodology (Work Plan with Timelines)

[Explain your understanding of the objectives of the assignment/job, approach to the assignment/job, detailed execution plan for the assignment, methodology for carrying out the activities and obtaining the expected output, and the degree of detail of such output.]

7.7 Form 9: Declaration Letter

Declaration Letter on official letter head stating the following:

We are not involved in any major litigation that may have an impact of affecting or compromising the delivery of services as required under this contract.

We are not black-listed by any Central / State Government / Public Sector Undertaking in India.

Witness:
Signature
Name
Address

Date

Agency:
Signature
Name
Designation
Organization
Date

8.0 Forms for the Financial Proposal

8.1 Form 1: Financial Bid Pro-Forma

Date _____

Secretary,
Bureau of Energy Efficiency
4th Floor, Sewa Bhawan,
R.K. Puram Sector-I, New Delhi -110066

Sub: Hiring of Agency for undertaking study for Impact Assessment of Bureau's Scheme National Mission for Enhanced Energy Efficiency for the period of FY 2021-22 to FY 2025-26

Sir,

I/We, the undersigned, offer to provide our services for undertaking study for Impact Assessment of Bureau's Scheme National Mission for Enhanced Energy Efficiency for the period of FY 2021-22 to FY 2025-26 in accordance with your Request for Proposal dated _____. Our Financial Proposal is for the sum of <<*Amount in words and figures*>>. This amount is inclusive of the cost of all parameters linked with the project and all the taxes are cleanly spelt.

Further, I/We understand that the payment would be made on the basis of actual invoice and GST rates prevalent during the time of payment.

Our Financial Proposal shall be binding upon us i.e. shall be valid up to expiration of the validity period of the Proposal i.e., <<*date of 120 days after from the date of bid submission*>> Also, we understand you are not bound to accept any Proposal you receive.

Thanking you,

Yours faithfully

(Signature of the Officer)

Name :
Designation :
Seal :
Date :
Place :
Business Address:

8.2 Form 2: Financial Bid Template

Date XX/XX/2025

GeM Bid No. <<if any>>

Client: Bureau of Energy Efficiency, New Delhi – 110066

Validity of the proposal – <<date of 120 days after from the date of bid submission>>

Summary of Costs

| S. No. | Costs | Currency (INR) |
|--------------|------------------------------------|----------------|
| 1 | Total Amount of Financial Proposal | |
| 2 | GST @ <<Rate of GST>> | |
| Total | | |

*There is no other additional cost thereon.

Yours sincerely,

(Authorized Signatory)

Name of Firm

9.0 Bank Guarantee Format (Earnest Money)

(To be stamped in accordance with Stamp act)

This deed of Guarantee made this _____ day of _____ 2025
by _____

(Name of the Bank)

having one its branch at _____
acting through its Manager (hereinafter called the "Bank") which expression shall wherever
the context so requires includes its successors and permitted assigns in favour of
Bureau of Energy Efficiency, having its office at _____
(hereinafter called)
("BEE") which expression shall include its successors and assigns.

WHEREAS BEE has invited tender vide its Tender Notice No.

_____ Dated _____ to be
opened on AND WHEREAS M/s _____

(Name of Tenderer)

having its office at _____
(hereinafter called the "Tenderer"), has/have in response to aforesaid tender notice offered
to supply/ do the job _____ as contained in the tender.

AND WHEREAS the Tender is required to furnish to BEE a Bank Guarantee for a sum of
INR _____ (Rupees _____
_____ Only) as Earnest Money for participation in the Tender aforesaid. AND
WHEREAS,

we _____

(Name of Bank) have at the request of the tenderer agree to give BEE this as hereinafter
contained.

NOW, THEREFORE, in consideration of the promises we, the undersigned, hereby
covenant that, the aforesaid Tender shall remain open for acceptance by BEE during the
period of validity as mentioned in the Tender or any extension thereof as BEE and the
Tenderer may subsequently agree and if the Tenderer for any reason back out, whether
expressly or impliedly, from his said Tender during the period of its validity or any extension
thereof as aforesaid or fail to furnish Bank Guarantee for performance as per terms
of the aforesaid Tender, we hereby undertake to pay BEE, New Delhi on demand
without demur to the extent of
INR _____ (Rupees _____ only).

We further agree as follows: -

01. That BEE may without affecting this guarantee extend the period of validity of the said
Tender or grant other indulgence to or negotiate further with the Tenderer in regard to
the conditions contained in the said tender or thereby modify these conditions or add
thereto any further conditions as may be mutually agreed to in between BEE and the
Tender AND the said Bank shall not be released from its liability under these presents
by an exercise by BEE of its liberty with reference to the matters aforesaid or by
reason of time being given to the Tenderer or any other forbearance, act or omission
on the part of the BEE or any indulgence by BEE to the said Tenderer or any other
matter or thing whatsoever.

02. The Bank hereby waive all rights at any time in consistent with the terms of this Guarantee and the obligations of the Bank in terms thereof shall not be otherwise affected or suspended by reason of any dispute or dispute having been raised by the Tenderer (whether or not pending before any arbitrator, tribunal or court) or any denial of liability by the Tenderer stopping or preventing or purporting to stop or prevent any payment by the Bank to BEE in terms thereof.
03. We the said Bank, lastly undertake not to revoke this Guarantee during its currency except with the previous consent of BEE in writing and agree that any charges in the constitution, winding up, dissolution or insolvency of the Tenderer, the said Bank shall not be discharged from their liability.
NOTWITHSTANDING anything contained above, the liability of the Bank in respect of this Guarantee is restricted to the said sum of INR. _____(Rupees _____ only) and this Guarantee shall remain in force till _____unless a claim under this guarantee is filed with the bank within 30 (thirty) days from this date or the extended date, as the case may be i.e. up to _____all rights under Guarantee shall lapse and the Bank be discharged from all liabilities hereunder. In witness whereof, the Bank has subscribed and set its name and seal here under.

Note: - The date shall be forty-five (45) days after the last date for which the bid is valid.

10.0 Bank Guarantee Format (Performance Security)

Bureau of Energy Efficiency
Sewa Bhawan, 4th Floor,
R. K. Puram, Sector-1
New Delhi-110066
(With due Rs.100/- stamp duty, if applicable)

OUR LETTER OF GUARANTEE No.:

Date.....

Amount:

Valid Date:

Bank Name & Address:

.....

In consideration of Bureau of Energy Efficiency having its office at Sewa Bhawan, 4th Floor, R. K. Puram, Sector-1, New Delhi-110066 (hereinafter referred to as "BEE" which expression shall unless repugnant to the content or meaning thereof include all its successors, administrators and executors) and having issued list of successful agencies dated _____ against RFP No. _____ dated _____ which includes M/s _____ (hereinafter referred to as "The Agency" which expression unless repugnant to the content or meaning thereof, shall include all the successors, administrators, and executors).

WHEREAS the Agency having unequivocally accepted to perform the services as per terms and conditions given in the BID/RFP No _____ dated _____ and BEE having agreed that the Agency shall furnish to BEE, a Performance Security for the faithful engagement for the entire contract, amounting to Rs. _____.

We, _____ (The Bank) which shall include OUR successors, administrators and executors herewith establish an irrevocable Letter of Guarantee No. _____ in your favour for account of _____ (The Agency) in cover of performance security in accordance with the terms and conditions of the RFP.

Hereby, we undertake to pay up to but not exceeding _____ (say _____ only) upon receipt by us of your first written demand accompanied by your declaration stating that the amount Claimed is due by reason of the Agency having failed to perform the services as per the terms & conditions given in the BID/RFP and despite any contestation on the part of above named-agency.

This Letter of Guarantee will expire on _____ including 30 days of claim period and any claims made hereunder must be received by us on or before expiry date after which date this Letter of Guarantee will become of no effect whatsoever whether returned to us or not.

Authorized Signature
Chief Manager/Manager
Seal of Bank

Note: - The date shall be valid up to sixty (60) days after the last date for which the all obligations under the contract are fulfilled.

Annexure I A

Sample Format

Scheme: Promoting Energy Efficiency Activities in Different Sectors of Indian Economy

| Financial Outlay (In CR.) | Components of Scheme | OUTPUTS 2021-26 | | | | | OUTCOMES 2021-26 | | |
|---------------------------|---|--|------------|---------|-------|---------|------------------|----------------------------------|-------------|
| | | Outputs | Indicators | 2021-22 | | 2025-26 | Outcome | Indicators | Achievement |
| | | <i>(Indicative only, can be modified)</i> | | | | | | | |
| | Monitoring and verification and check verification of Designated Consumers for compliance cycles as when required | <ul style="list-style-type: none"> Conduct of check verification of Designated Consumers for PAT compliance cycles. | Numbers | | | | Energy Savings | Million tonnes of Oil Equivalent | |

Annexure I-B

Template for Evaluation of Central Sector Scheme: [Scheme Name]

Name of Department /Name of Ministry

1. EXECUTIVE SUMMARY

2. OVERVIEW OF THE SCHEME

2.1 Background of the Scheme

- Brief write up on the scheme including objectives, Implementation Mechanism, scheme architecture/ design
- Name of Sub-schemes/ components
- Year of commencement of scheme
- Present status with coverage of scheme (operational/ non-operational)
- Sustainable Development Goals (SDG) Served
- Alignment with Viksit Bharat 2047 Vision
- Fund Flow mechanism (National and sub-national level)

2.2 Budgetary allocation and expenditure pattern of the scheme

| Sub-scheme/ Component | [Year 1] | | | [Year 2] | | | [Year 3] | | | [Year 4] | | | [Year 5] | | |
|--------------------------|----------|----|--------|----------|----|--------|----------|----|--------|----------|----|--------|----------|----|--------|
| | BE | RE | Actual | BE | RE | Actual | BE | RE | Actual | BE | RE | Actual | BE | RE | Actual |

2.3 Summary of past evaluation since inception of scheme

| Year of Evaluation | Agency hired for Evaluation | Recommendations made and accepted | Recommendations made but not accepted |
|--------------------|-----------------------------|-----------------------------------|---------------------------------------|
|--------------------|-----------------------------|-----------------------------------|---------------------------------------|

3. METHODOLOGY

3.1 Sample size and sample collection process- The approach should be to derive a sample size based on some key output/outcome parameter of the scheme. The States/Districts/Villages & UCBs could be graded in terms of performance of the states in these indicators and accordingly representation from each such Strata be finalized systematically. While doing so, regional representation in terms of Zones as per NSSO (consisting of States/UTs) and aspirational districts/blocks may also be kept in mind.

3.2 Baseline data on Key Performance Index (KPIs): Baseline data on select KPIs (15 to 25 central to measure the effectiveness of the scheme in terms of its meeting the scheme objective to be collected: -

3.2 (a) For New Scheme: Baseline data to be collected through a baseline survey from the field. This could be done anytime during the commencement of the scheme to six months of it being in operation. This data and accompanying report are to be kept safely by the M/Ds. This would be followed by a mid-line survey, ideally after 2-3 years of its operation.

3.2 (b) For Existing Scheme: Synthetic baseline data may be created using secondary and administrative data to which these KPIs are to be compared. In any case, the current evaluation data has to be stored properly to be used in the future as an anchor dataset to carry out proper analysis of the ongoing schemes.

3.3 Evaluation Tools used: Various evaluation tools can be used in the primary survey such as Household questionnaires, Key Informant Interviews, Focused Group Discussions, etc. This would depend on the focus and orientation of the scheme.

3.4 Data collection tools: Computer Assisted Personal Interview (CAPI) tools to be adopted.

4. OBJECTIVE OF THE STUDY

4.1 Effectiveness of the scheme in terms of achieving its intended objectives as per the scheme guidelines (To be analysed on the Output/Outcome/Impact indicators)

4.2 Additional parameters

- a) Awareness and Coverage of Scheme-uptake by beneficiaries

| State | | | | District | | | |
|-------|--------|-------|--------|----------|--------|-------|--------|
| Urban | | Rural | | Urban | | Rural | |
| Male | Female | Male | Female | Male | Female | Male | Female |
| SC/ST | SC/ST | SC/ST | SC/ST | SC/ST | SC/ST | SC/ST | SC/ST |

- b) Assessment of implementation process and fund flow mechanism
- c) Training/ Capacity building of administrators/ facilitators, IEC activities etc.
- d) Asset/ Service creation, if any, assess adequacy and quality and & maintenance plan/recurring expenditure associated with it

- e) Benefits (Individual, community)
- f) Convergence with scheme of own Ministry/ Department or of other Ministry/ Department and with the scheme of States/UTs.

4.3 Gaps in achievement of outcomes

4.4 Key Bottlenecks & Challenges

4.5 Input Use Efficiency

4.6 Best Practices/Case Studies

4.7 Most Significant Change (due to the scheme/intervention)

5. OBSERVATIONS AND RECOMMENDATIONS

5.1 Thematic Assessment

- i. Improving **value for money** through identification of avoidable duplication and overlaps between different schemes
- ii. Assessing the continued **relevance** and their effectiveness and efficiency in achieving the intended objectives.
- iii. Reduction in **avoidable overhead expenditure** on consultants, programme management, administration etc.

5.2 Externalities

6. CONCLUSION

6.1 Issues & challenges (data must attempt to gather information on, but not limited to, the following)

Has the intervention caused a significant change in the lives of the intended beneficiaries?

How did the intervention cause higher-level effects (such as changes in norms or systems)?

Did all the intended target groups, including the most disadvantaged and vulnerable, benefit equally from the intervention?

Is the intervention transformative – does it create enduring changes in norms – including gender norms – and systems, whether intended or not?

Is the intervention leading to other changes, including “scalable” or “replicable” results?

How will the intervention contribute to changing society for the better?

6.2 Vision for the future

EXPLNATORY MEMORANDUM

2.1 (a) Latest guidelines of the scheme may also be annexed.

2.1 (b) Sub-schemes/components which have separate budgetary allocations either through budget line or through Detailed Demand for Grants (DDG) may also be listed along with component-wise budget allocation.

2.1 (d) Details of number of states/districts/villages where the scheme is functional may be included.

2.1 (e) & (f) May be linked with objective of the scheme.

2.2 If DDG makes allocations for certain items which are not shown as sub-schemes/ components, the same may be separately indicated along with allocation in the table.

3.1 Complete list of states as classified by NSSO may be seen on its website.

4.1 Output/ Outcome Indicators as per the objectives of the scheme be specified for proper assessment of the scheme. Indicators as spelt out in SFC/EFC memorandum during appraisal of the scheme may also be utilized.

Output/ Outcome/Impact Indicators (numbers or percentage) must be compared with base year value at all time points (periodicity) as per monitoring mechanism framework, also defined in SFC/EFC Memorandums

4.2 (a) Tabulated information up to Tehsil/ Block Level and if possible, up to village level may be provided.

4.2 (b) focus should be on clarity of instructions, availability of scheme or programme guidelines, clear definition of roles and responsibilities of functionaries and the number and nature of clarifications/ additional instructions issued w.r.t. scheme guidelines. Details about training (PFMS/EAT module, scheme's portal or any other) with number of interventions and levels at which these interventions were carried out may be included.

4.3 (c) Details about Stakeholders/ Beneficiaries, details of campaigns, media, frequency, feedback etc. may be included.

4.2 (f) In primary survey, a facility checklist may be included to ascertain the quality and usability of such assets created under the scheme. Details about nature and type of convergence with national and state level schemes may be detailed out.

Details about apparatus- manpower office transport etc. may be included. If there is no convergence, NIL may be recorded.

4.3 These gaps could be attributed to absence of interventions/ non-performance of existing interventions.

4.4 Focus may be of Financial, Administrative, Project Management and any other Key Bottlenecks & Challenges.

4.5 Details of (a) requirement of funds as indicated in EFC/ SFC in relation to actual allocation of funds including timelines of release (b) requirement and allotment of manpower in implementation of scheme/Programme at various levels (PMU/Central/State) (c) Involvement of private players, volunteers, non-governmental organizations and local community etc. in the scheme may be provided.

4.6 Description of the Best Practices and Case Studies- Since evaluation is to record both what is working and what is not, therefore, the best practices should be recorded in detail, facilitating replication.

4.7 Most Significant Change: This information is to be gathered from primary survey w.r.t what one thing that the scheme has been able to achieve in the most significant way.

5.1 Thematic assessment should focus on Accountability, Transparency, Employment generation (direct/indirect), Climate change and sustainability, Role of TSP/SCSP, Use of IT, Behavioral change in stakeholders/beneficiary, R&D, Role, functions, involvement/ support of State govts.

Evaluation of public interventions and policies needs to recognize the scarcity of resources, fiscal affordability **and the 'zero sum game' that plays out in resource allocation**. In a developing country like ours which faces multiple social, economic and environmental challenges, availability of public resources amongst competing demands will always be limited. Priority setting and resource allocation are vital questions to be addressed, and evaluation needs to assist in this. While interventions may be chosen to maximize specific objectives, they all are constrained with respect to practical and budgetary issues. Hence, evaluation recommendations should not routinely assume enhanced funding. If felt essential, alternative non-base case recommendations may be made separately.

Cross cutting themes can be assessed both through secondary data as well as primary. While conducting meta-analysis of existing reports, the evaluator

should actively review the cross-cutting themes. The primary data for cross cutting themes will be elicited through specific questions and responses during the key informant interviews and beneficiary surveys. For example, use of IT in scheme implementation, fund flow, monitoring and evaluation can be assessed from interaction with concerned ministries/ departments as well as states officials. Similarly, gender mainstreaming can be assessed by introducing specific questions on changes in knowledge, attitude and practices pertaining to gender equality, attributable to the CS intervention at hand, through household surveys.

5.2 Details best practices, innovations or scheme/ projects where best practices were replicated may be provided.

6.3 It is essential to highlight the importance of recommendations for the scheme. The evaluation agency may provide recommendations for the scheme in any of the following categories (a) Continue in existing form (b) Continue with some Modifications (suggest modifications) (c) scale up the scheme (Financial/Physical/ both) (d) Scale down the scheme (Financial/Physical/ both) (e) Close (f) Merge with another scheme as sub-scheme/ component. [*for further details see comments for para 5.1*]

Annexure II

Format for Integrity Pact

Integrity Pact

(Refer clause 2.6 of the RfP Document)

(To be executed on the plain paper and submitted along with Technical Bid/ Tender documents)

This Integrity Pact is made at _____ on this day of 20 ____.

BETWEEN

BUREAU OF ENERGY EFFICIENCY (BEE), a statutory body set-up under the provisions of the Energy Conservation Act, 2001 by the Government of India with the primary objective of conducting impact assessment study on National Mission for Enhanced Energy Efficiency for the period FY 2021-26, having its office at 4th Floor, Sewa Bhawan, R.K. Puram, New Delhi-110066, acting through its [designation of the concerned officer] (hereinafter referred to as the "Principal", which expression shall, unless repugnant to the meaning or context thereof, include its successors and permitted assigns) of the ONE PART;

AND

(name of the Bidder), acting through Mr./ Ms. _____ (name of the Authorised Signatory), holding the designation of _____ [designation of the Authorised Signatory] (hereinafter referred to as the "Bidder/ Contractor/ Consultancy Agency/ Vendor", which expression shall unless repugnant to be meaning or context thereof include its successors and permitted assigns) of the SECOND PART.

Preamble

WHEREAS, the Principal has floated the Tender {RFP No dated } (hereinafter referred to as "Tender/ Bid") and intends to award, under laid down organizational procedure, contract for {Name of the work} (hereinafter referred to as the "Contract").

AND WHEREAS the Principal values full compliance with all relevant laws of the land, rules of land, regulations, economic use of resources and of fairness/ transparency in its relations with the Bidder/ Contractor/ Consultancy Agency/ Vendor.

AND WHEREAS to meet the purpose aforesaid, both the Parties have agreed to enter into this Integrity Pact (hereafter referred to as "Integrity Pact" or "Pact") the terms and conditions of which shall also be read as integral part and parcel of the Bidding Documents and the Contract Agreement between the Parties.

.....the "Principal" and the "Bidder/ Contractor/ Consultancy Agency/ Vendor", hereinafter individually referred to as "Party" and collectively as "Parties"

Now, therefore, in consideration of mutual covenants contained in this Pact, the Parties hereby agree as follows and this Pact witnesses asunder:

Article-1-Commitments of the Principal

(1) The Principal commits itself to take all measures necessary to prevent corruption and to observe the following principles:-

(a) No employee of the Principal, personally or through family members, will in connection with the Tender for {Name of the work}, or the execution of a Contract, demand, take a promise for or accept, for self, or third person, any material or immaterial benefit which the person is not legally entitled to.

(b) The Principal will, during the Tender process, treat all Bidders with equity and reason. The Principal will, in particular, before and during the tendering process, provide to all Bidders

the same information and will not provide to any Bidder, confidential/ additional information through which the Bidder could obtain an advantage in relation to the tendering process or the contract execution.

(c) The Principal will exclude all known prejudiced persons from the process.

(2) If the Principal obtains information on the conduct of any of its employees, which is a criminal offence under the Indian Penal Code, 1860/ Prevention of Corruption Act, 1988 ("IPC/ PC Act") or any other Statutory Acts or if there be a substantive suspicion in this regard, the Principal will inform the Chief Vigilance Officer and in addition can initiate disciplinary actions as per its internal laid down Rules/ Regulations.

Article-2 Commitments of the Bidder/ Contractor/ Consultancy Agency/ Vendor

The Bidder/ Contractor/ Consultancy Agency/ Vendor commits himself to take all measures necessary to prevent corruption. He commits himself to observe the following principles during his participation in the tender process and during the contract execution :

(a) Bidder/ Contractor/ Consultancy Agency / Vendor will not directly or through any other person or Agency/firm offer, promise or give to any of the Principal's employees, involved in the tender process or the execution of the contract or to any third person, any material or other benefit which he/ she is not legally entitled to, in order to obtain in exchange any advantage of any kind whatsoever during the tendering process or during the execution of the contract.

(b) The Bidder/ Contractor/ Consultancy Agency / Vendor will not enter with other Bidders into any undisclosed agreement or understanding, whether formal or informal. This applies in particular to prices, specifications, certifications, subsidiary contract, submission or non-submission of bids or any other action to restrict competitiveness or to introduce cartelization in the bidding process.

(c) The Bidder/ Contractor/ Consultancy Agency / Vendor will not commit any offence under the relevant IPC/ PC Act and other Statutory Acts. Further, the Bidder/ Contractor/ Consultancy Agency / Vendor will not use improperly, for purposes of completion or personal gain, or pass on to others, any information or document provided by the Principal as part of the business relationship, regarding plans, technical proposals and business details, including information contained or transmitted electronically.

(d) The Bidder/ Contractor/ Consultancy Agency / Vendor of a foreign origin shall disclose the name and address of its Agents/ Representatives in India, if any. Similarly, the Bidder/ Contractor/ Consultancy Agency / Vendor of Indian Nationality shall furnish the name and address of the foreign principals, if any. Further, details as mentioned in the 'Guidelines on Indian Agents of Foreign Suppliers' shall be disclosed by the Bidder/ Contractor/ Consultancy Agency / Vendor. Also all the payments made to the Indian Agent / Representative have to be in Indian Rupees only.

(e) The Bidder/ Contractor/ Consultancy Agency / Vendor will, when presenting his bid, disclose any and all payments he has made, is committed to or intends to make to agents, brokers or any other intermediaries, in connection with the award of the contract. He shall also disclose the details of services agreed upon for such payments.

(f) The Bidder/ Contractor/ Consultancy Agency / Vendor will not instigate third persons to commit offences outlined above or be an accessory to such offences.

(g) The Bidder/ Contractor/ Consultancy Agency / Vendor will not bring any outside influence through any Govt. bodies/ quarters directly or indirectly on the bidding process in furtherance of its bid.

Article 3 Disqualification from tender process and exclusion from future contracts

(1) If the Bidder/ Contractor/ Consultancy Agency / Vendor, before award or during execution has committed a transgression through a violation of any provision of Article 2, above or in any other form such as to put his reliability or credibility in question, the Principal is entitled to disqualify the Bidder/ Contractor/ Consultancy Agency / Vendor from the tender process.

(2) If the Bidder/ Contractor/ Consultancy Agency / Vendor has committed a transgression through a violation of Article-2 such as to put his reliability or credibility into question, the

Principal shall be entitled to exclude including blacklist and put on holiday the Bidder/ Contractor/ Consultancy Agency / Vendor for any future tenders/ contract award process. The imposition and duration of the exclusion will be determined as per the existing provisions of GFR, 2017, PC Act, 1998 and other Financial Rules/ Guidelines etc. as may be applicable to the Principal, taking into account the severity of the transgression. The severity will be determined by the Principal by taking into consideration the full facts and circumstances of each case, particularly the number of transgressions, the position of the transgressors within the company hierarchy of the Bidder/ Contractor/ Consultancy Agency / Vendor and the amount of the damage.

(3) A transgression is considered to have occurred if the Principal after due consideration of the available evidence concludes that "on the basis of facts available there are no material doubts about the occurrence".

(4) The Bidder/ Contractor/ Consultancy Agency / Vendor with its free consent and without any influence agrees and undertakes to respect and uphold the Principal's absolute rights to resort to and impose such exclusion and further accepts and undertakes not to challenge or question such exclusion on any ground, including the lack of any hearing before the decision to resort to such exclusion is taken. This undertaking is given freely and after obtaining independent legal advice.

(5) The decision of the Principal to the effect that a breach of the provisions of this Integrity Pact has been committed by the Bidder/ Contractor/ Consultancy Agency / Vendor shall be final and binding on the Bidder/ Contractor/ Consultancy Agency / Vendor, however, the Bidder/ Contractor/ Consultancy Agency / Vendor can approach IEM(s) appointed for the purpose of this Pact.

(6) On occurrence of any sanctions/ disqualification etc. arising from violation of this Integrity Pact, the Bidder/ Contractor/ Consultancy Agency / Vendor shall not be entitled for any compensation on this account.

(7) Subject to full satisfaction of the Principal, the exclusion of the Bidder/ Contractor/ Consultancy Agency / Vendor could be revoked by the Principal if the Bidder/ Contractor/ Consultancy Agency / Vendor can prove that he has restored/ recouped the damage caused by him and has installed a suitable corruption prevention system in his organization.

Article 4 Compensation for Damages

(1) If the Principal has disqualified the Bidder from the tender process prior to the award according to Article-3, the Principal shall be entitled to forfeit the Earnest Money Deposit/ Bid Security or demand and recover the damages equivalent to Earnest Money Deposit/ Bid Security apart from any other legal right that may have accrued to the Principal.

(2) If the work has been awarded then in addition to (1) above, the Principal shall be entitled to cancel the letter of acceptance/ notice of award issued to the Bidder.

(3) If the contract/ agreement has been signed, then the Principal shall be entitled to take recourse to the relevant provisions of the contract, related to Termination of Contract, due to Contractor's/ Consultancy Agency's/ Vendor's Default. In such case, the Principal shall be entitled to forfeit the Performance Bank Guarantee of the Contractor/ Consultancy Agency / Vendor and/ or demand and recover liquidated and all damages as per the provisions of the contract/ agreement against Termination.

Article 5 Previous Transgression

(1) The Bidder declares that no previous transgressions occurred in the last 3 years immediately before signing of this Integrity Pact with any other Company in any country conforming to the anticorruption/ Transparency International (TI) approach or with any other Public Sector Enterprise/ Undertaking in India or any Government Department in India that could justify his exclusion from the tender process.

(2) If the Bidder makes incorrect statement on this subject, he can be disqualified from the tender process or action for his exclusion can be taken as mentioned under Article-3 above for transgressions of Article-2 and shall be liable for compensation for damages as per Article-4 above.

Article 6 Equal treatment of all Bidders/ Contractors/ Consultancy Agency's/ Vendors/ Subcontractors

- (1) The Bidder/ Contractor/ Consultancy Agency / Vendor undertakes to demand from all Subcontractors a commitment in conformity with this Integrity Pact, and to submit it to the Principal before contract signing.
- (2) The Principal will enter into agreements with identical conditions as this one with all Bidders/ Contractors/ Consultancy Agency s and Subcontractors.
- (3) The Principal will disqualify from the tender process all Bidders who do not sign this Pact or violate its provisions.

Article 7 Criminal charges against violating Bidder/ Contractor/ Consultancy Agency / Vendor/ Subcontractors

If the Principal obtains knowledge of conduct of a Bidder/ Contractor/ Consultancy Agency / Vendor or Subcontractor, or of an employee or a representative or an associate of a Bidder/ Contractor/ Consultancy Agency / Vendor or Subcontractor, which constitutes corruption, or if the Principal has substantive suspicion in this regard, the Principal will inform the same to the Chief Vigilance Officer.

Article 8 Independent External Monitor (IEM)

- (1) The Principal can appoint any eminent person of high integrity and reputation in accordance with the guidelines issued by the CVC as Independent External Monitor (herein after referred to as "Monitor") for this Pact. The task of the Monitor is to review independently and objectively, whether and to what extent the Parties comply with the provisions of this Pact and upon award of the contract, the obligations casted upon them under the contract/ agreement.
- (2) The Monitor is not subject to instructions by the representatives of the Parties and performs his functions neutrally and independently. He will report to the Principal.
- (3) The Monitor would be provided access to all documents/ records pertaining to the contract for which a complaint or issue is raise before him, as and when warranted.
- (4) The Monitor shall examine all complaints received by him and give his recommendations/ views to the Principal at the earliest. However, issues like warranty/ guarantee etc. shall be outside the purview of the Monitor.
- (5) The Bidder/ Contractor/ Consultancy Agency / Vendor accepts that the Monitor has the right to access without restriction to all project documentation of the Principal including that provided by the Bidder/ Contractor/ Consultancy Agency / Vendor. The Bidder/ Contractor/ Consultancy Agency / Vendor will also grant the Monitor, upon his request and demonstration of a valid interest, unrestricted and unconditional access to his project documentation. The same is applicable to Subcontractors also.
- (6) The Monitor is under contractual obligation to treat the information and documents of the Bidder/ Contractor/ Subcontractor with confidentiality. The Monitor has also signed on 'Non-disclosure of Confidential Information' and of 'Absence of Conflict of Interest'. In case of any conflict of interest arising at a later date, the IEM shall inform the Principal and recuse himself/ herself from that case.
- (7) The Principal will provide to the Monitor sufficient information about all meetings among the Parties related to the Project provided such meetings could have an impact on the contractual relations between the Principal and the Bidder/ Contractor/ Consultancy Agency / Vendor. The Parties offer to the Monitor the option to participate in such meetings.
- (8) As soon as the Monitor notices, or has reason to believe, a violation of this Pact, it will so inform the management of the Principal and request the management to discontinue or take corrective action, or to take other relevant action. The Monitor can, in this regard, submit non-binding recommendations. Beyond this, the Monitor has no right to demand from the Parties that they act in a specific manner, refrain from action or tolerate action.
- (9) The Monitor will submit a written report to the Principal within 8 to 10 weeks from the date of reference or intimation to him by the Principal and, should the occasion arise, submit proposals for correcting problematic situations.

(10) If the Monitor has reported to the Principal, a substantiated suspicion of an offence under relevant IPC/ PC Act or any other Statutory Acts, and the Principal has not, within the reasonable time taken visible action to proceed against such offence or reported it to the Chief Vigilance Officer, the Monitor may also transmit this information directly to the Central Vigilance Commissioner.

(11) The word 'Monitor' would include both singular and plural.

Article 9 Pact Duration

(1) The validity of this Integrity Pact shall be from the date of its signing and extend till the complete execution of the contract to the satisfaction of both the Principal and the Bidder/ Contractor/ Consultancy Agency / Vendor, including warranty period or defects liability period/ maintenance period, whichever is later. In case the Bidder is unsuccessful, this Integrity Pact shall expire after six months from the date of the signing of the contract with the successful bidder.

(2) If any claim is made/ lodged during this time, the same shall be binding and continue to be valid despite the lapse of this Pact as specified above, unless it is discharged/ determined by the Principal.

Article 10 Other Provisions

(1) This Pact is subject to Indian Laws. Place of performance and jurisdiction is the Registered Office of the Principal, i.e., New Delhi.

(2) Changes and supplements as well as termination notices need to be made in writing only.

(3) If the Bidder/ Contractor/ Consultancy Agency / Vendor is in a partnership/ joint venture or a Consortium, this Pact must be signed by all partners or members.

(4) Should one or several provisions of this agreement turn out to be invalid, the remainder of this agreement shall remain valid. In this case, the Parties will strive to come to an agreement to their original intentions.

(5) Issue like warranty/ Guarantee etc. shall be outside the purview of the Monitor.

(6) In the event of any contradiction between the Integrity Pact and its Annexure(if any), the clause in Integrity Pact shall prevail.

(7) Any disputes/ differences arising between the Parties with regard to term of this Pact, any action taken by the principal in accordance with this Pact or interpretation thereof shall be subject to Arbitration (Refer Clause 7.20 of the RfP).

(8) The actions stipulated in this Integrity Pact are without prejudice to any other legal action that may follow in accordance with the provision of the extant law in force relating to any civil or criminal proceedings. Provide however, the Bidder/ Contractor/ Consultancy Agency / Vendor who has signed an Integrity Pact shall not approach the court while representing the matter to the Monitor under this Pact and shall wait for his decision in the matter.

In witness whereof the Parties have signed and executed this Pact at the place and date first done mentioned in the presence of following witness:-

(For & on behalf of the Principal) (For& onbehalf of Bidder/Contractor) (Office Seal)
(OfficeSeal)

Place Date

Witness 1: Witness 1:

(Name & Address) (Name &Address)


Witness 2: Witness 2:

(Name & Address) (Name &Address)

Annexure III

Bank Details for NEFT/RTGS

| | |
|------------------------|--|
| Name of Beneficiary | Bureau of Energy Efficiency |
| Bank A/c No | 89830100010654 |
| Name of the Bank | Bank of Baroda |
| Name of Branch Address | Bhikaji Cama Place, New Delhi-110066 |
| Email ID | divaccounts@beenet.in |
| A/c Type | Saving |
| Branch Code | 6020 |
| IFSC Code | BARB0VJBCPL |
| MICR Code | 110012308 |
| Swift Code | BARBINBBNND |
| PAN No | AAAAE0631J |

| | | | |
|---|--|--|---|
|  | बैंक ऑफ बड़ोदा Bank of Baroda | बी बी प्लेस, दिल्ली B C PLACE, DELHI RTGS / NEFT IFSC CODE: BARB0VJBCPL | वाटें की गईं खाते से तीन माह के लिए वैध VALID FOR THREE MONTHS FROM THE DATE OF ISSUE CBS |
| | | सेविंग खाता / SAVINGS ACCOUNT | D D M M Y Y Y Y |
| Pay | | Or Bearer | |
| Rupees रुपये | | या धारक को | |
| अदा करें | | ₹ | |
| खा. नं. A/c No. | 69830100010654 | FOR BUREAU OF ENERGY EFFICIENCY | |
| SB/2012/SE | | Please sign above | |
| Payable at par at all branches in India | | | |

Annexure IV - SFC

ENERGY CONSERVATION SCHEME NMEEE REVISED TO ROSHANEE(ONGOING SCHEME)

SFC PROPOSAL FOR 2021-22 TO 2025-26

MINISTRY OF POWER
GOVERNMENT OF INDIA

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ACRONYMS AND ABBREVIATIONS

| | |
|-----------------|--|
| AEA | Accredited Energy Auditor |
| BEE | Bureau of Energy Efficiency |
| BLY | Bachat Lamp Yojana |
| CDM | Clean Development Mechanism |
| CER | Certified Emission Reduction |
| CFL | Compact Fluorescent Lamp |
| CME | Coordinating and Managing Entity |
| CO ₂ | Carbon Dioxide |
| CPA | CDM Programme Activity |
| DCs | Designated Consumers |
| DISCOMS | Electricity Distribution Companies |
| DSM | Demand Side Management |
| ECCC | Executive Committee on Climate Change |
| EE | Energy Efficiency |
| EEFP | Energy Efficiency Financing Platform |
| EESL | Energy Efficiency Services Limited |
| ESCerts | Energy Saving Certificates |
| ESCO | Energy Services Company |
| FEEED | Framework for Energy Efficient Economic Development |
| GFR | General Financial Rules |
| Goi | Government of India |
| HSBC | The Hong Kong and Shanghai Banking Corporation |
| IDFC | Infrastructure Development Finance Company |
| IFCI | Industrial Finance Corporation of India |
| IFD | Integrated Finance Division |
| INR | Indian Rupee |
| kWH | Kilo Watt Hour |
| LED | Light Emitting Diode |
| MoEF & CC | Ministry of Environment, Forests and Climate Change |
| MoP | Ministry of Power |
| MoU | Memorandum of Understanding |
| MTEE | Market Transformation for Energy Efficiency |
| MTtoE | Million Tonnes of Oil Equivalent |
| NBFC | Non-Banking Financial Company |
| NDC | Nationally Determined Contribution |
| NECA | National Energy Conservation Awards |
| NMEEE | National Mission for Enhanced Energy Efficiency |
| PAD | Performance Assessment Document |
| PAT | Perform, Achieve and Trade |
| PMCCC | Prime Minister's Council on Climate Change |
| PMO | Prime Minister Office |
| PRGFEE | Partial Risk Guarantee Fund for Energy Efficiency |
| PTC | Power Trading Corporation |
| REC | Rural Electrification Corporation |
| ROSHANEE | Roadmap of Sustainable and Holistic Approach to National Energy Efficiency |
| SE | Super-Efficient |
| SEC | Specific Energy Consumption |
| SEEP | Super-Efficient Equipment Programme |
| SIDBI | Small Industries Development Bank of India |
| SME | Small and Medium Enterprises |

SoP
SSC PoA
TERI
UNFCCC

VCFEE

Standard Operating Practices
Small Scale CDM Programme of Activity
The Energy Research Institute
United Nations Framework Convention on Climate
Change
Venture Capital Fund for Energy Efficiency

1. Name of the Scheme

“Energy Conservation Scheme” which is an ongoing Scheme aligned with the climate goals under NDCs.

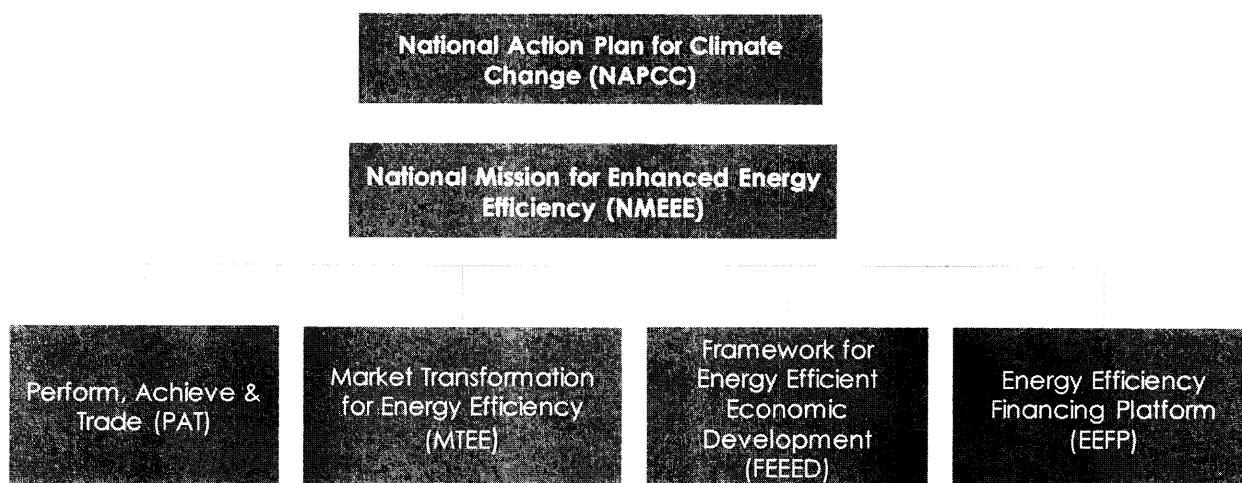
Sponsoring Agency is Ministry of Power.

2. Objectives of the scheme

This scheme aims to promote energy conservation by creating conducive regulatory and policy regime and has envisaged fostering innovative and sustainable business models. This scheme will push energy intensive sectors to conserve energy with a global aim of reducing GHG emissions to meet India's Nationally Determined Contributions (NDCs) by 2030 and beyond.

3. Background of the scheme

National Action Plan on Climate Change (NAPCC) was released in June, 2008, recognizing the need to maintain a high growth rate for increasing living standards of the vast majority of people and reducing their vulnerability to the impacts of climate change.



NMEEE is the key component of National Action Plan on Climate Change (NAPCC) in which it reflects the intention of Gol on achieving enhanced energy efficiency in India from all sectors of economy having substantial potential of energy efficiency improvement. The Cabinet in its meeting held in June, 2010 approved the NMEEE Mission document, subsequently, it has got extension during Twelfth Plan as well as during the period 2017-18 to 2019-20. This Mission aims for reducing GHG emissions to meet India's Nationally Determined Contributions (NDCs) by 2030 and beyond. It aims to strengthen the market for energy efficiency by creating conducive regulatory and policy regime and has envisaged fostering innovative and sustainable business models to the energy efficiency sector. NMEEE is critical to continue and broaden the scope of market driven approach of innovative policy, regulatory and financing models for motivating energy efficiency in India. This mission will push many energy intensive sectors to achieve energy efficiency with a global aim of reducing GHG emissions to meet India's Nationally Determined Contributions (NDCs) by 2030 and beyond. The desirability of continuing NMEEE is also recognized by Parliamentary Standing Committee on Energy, the Executive Committee on Climate Change (ECCC) under PMO as well as Group of

Secretaries for Energy Conservation and Efficiency. This NMEEE scheme is included under the broad programme head as **“Energy Conservation Scheme”**, which is an on-going scheme.

This scheme initially had following 4 components:

i). Perform, Achieve and Trade (PAT): This is a regulatory instrument to reduce specific energy consumption in energy intensive industries, with credit an associated market-based mechanism to enhance the cost effectiveness through credit of excess energy saving certificates which can be traded.

ii). Market Transformation for Energy Efficiency (MTEE): This scheme proposes accelerating the shift to energy efficient appliances in designated sectors through innovative measures to make the products more affordable.

iii). Energy Efficiency Financing Platform (EEFP): It is for creation of mechanisms which would help finance demand side management programmes in key sectors by capturing future energy savings as well as for capacity building of financial institutions and ESCOs/OEMs/designated consumers.

iv). Framework for Energy Efficient Economic Development (FEEED): It is for development of fiscal instruments to promote energy efficiency.

Components EEFP and FEEED have been brought under the umbrella of Financing Energy Efficiency Programme (FEEP) which will cover all financing mechanisms under one head.

4. Whether Central Sector (CS) Scheme/ Centrally Sponsored Scheme

Central sector scheme

5. Total Proposed outlay (component wise and year wise)

Total proposed outlay for Energy Conservation scheme is Rs. 167 crore

Table 1: Summary of proposed budget for 5 years (Rs. Crore)

| Component/ Programme | 2021-22 | 2022-23 | 2023-24 | 2024-25 | 2025-26 | Total |
|---------------------------------|----------------|----------------|----------------|----------------|----------------|---------------|
| 1. PAT | 10.65 | 19.55 | 20.65 | 28.30 | 30.85 | 110.00 |
| 2. FEEP - EEFP | 4 | 6.25 | 5 | 5 | 6.75 | 27 |
| 3. FEEP - FEEED | 5.28 | 3.98 | 3.25 | 3.75 | 3.75 | 20 |
| 4. Other activities | 1.5 | 1.5 | 2 | 2 | 3 | 10 |
| Total | 21.43 | 31.28 | 30.90 | 39.05 | 44.35 | 167 |

With reference to OM F.No. 42(02)/PF-II/2014 dated 8th December 2020 issued by DoE (MoF), it has been directed to propose total projected outlay of the schemes of Ministry/Department not more than 5.5 times of the actual total scheme expenditure of FY 2019-20.

6. Actual expenditure of the ongoing scheme in last 3 years

Table 3: Actual expenditure for the scheme in last 3 years

| Year | Actual expenditure (Rs. crore) |
|---------|--------------------------------|
| 2017-18 | 5.61 |
| 2018-19 | 27.88 |
| 2019-20 | 31.93 |

With reference to OM No. 42(02)/PF-II/2014 dated 10th January, 2020 issued by DoE, an approval for interim extension to all ongoing schemes till 31-03-2021 was conveyed.

7. Approved output/outcome of ongoing scheme year wise and achievements (in a tabular form)

Table 4: Approved output/outcome and achievements for FY 2017-18

| NMEEE | Output/Outcome | | Achievement | |
|----------------|--|-----------------------------|--|--------------------------|
| Compo nents | Physical | Financial (Rs. crore) | Physical | Financial (Rs. crore) |
| PAT | <ul style="list-style-type: none"> Commencement of PAT Cycle III. Inclusion of 1 new sector. 25 Workshops for capacity buildings of stakeholders. Check verification of 20 DCs. Energy savings of 8.67 MTOE (PAT Cycle-I) Avoided generation: 5635MW (PAT Cycle-I) | 6.40 | <ul style="list-style-type: none"> PAT cycle –III was launched in the year 2017 where 116 DCs were notified from the existing sectors of PAT scheme. PAT cycle –IV was notified in March 2018 in which 109 DCs from existing sectors and two new sectors of PAT i.e. Petrochemicals and Commercial Buildings (Hotels) were notified. During PAT Cycle-I energy savings of 8.67 MTOE was achieved translating into avoiding of about 31 million tons of CO2 emission. The trading of ESCerts for PAT Cycle-I was launched in September 2017. A total volume of 12.98 lakhs of ESCerts were traded in 17 trading sessions leading to a business of about Rs. 100 Crores. 23 regional workshops were conducted for the capacity building of | 4.05 |

| | | | | |
|-------|---|-----|---|----------------|
| | | | <p>the DCs/ SDAs/AEAs for hand-holding them to understand the various pro-forma and other related documents.</p> <ul style="list-style-type: none"> • Baseline verification audit for about 200 DCs was carried out for identification of new DCs under PAT scheme. | |
| MTEE | <ul style="list-style-type: none"> • 4 workshops • 1 Study report | 1.5 | <ul style="list-style-type: none"> • This component was transferred to EESL. | |
| EEFP | <ul style="list-style-type: none"> • 25 banking officials trained for EE finance. • 4 capacity building workshops/conferences for ESCOs/industries with at least 75 participants in each workshop | 1.5 | <ul style="list-style-type: none"> • Training workshops for capacity building of Financial Institutions was launched. 186 banking officials trained under this programme. • Guidelines for financing EE projects in India have been launched. Achievements under PAT scheme were also launched in September 2017. • 5 workshop conducted where 200 professionals from ESCOs, Energy Auditors, Energy Managers undergone training on technical and financial aspects of ESCO business model | Rs. 0.78 crore |
| FEEED | <ul style="list-style-type: none"> • Guarantee for INR 70 Crores under PRGFEE. • Equity investment worth INR 25 crores under VCFEE. | | <ul style="list-style-type: none"> • Implementing Agency for PRGFEE was not able to issue any guarantee • 5 FIs were empanelled under PRGFEE • VCFEE was not operationalized as none of the Public financial institutions showed interest in becoming Fund Manager for VCFEE. | |

Table 5: Approved output/outcome and achievements for FY 2018-19

| NMEEE | 2018-19 | | Achievement | |
|------------|---|-----------|--|-----------------------|
| Components | Physical | Financial | Physical | Financial (Rs. crore) |
| PAT | <ul style="list-style-type: none"> • Commencement of PAT Cycle IV. • Inclusion of 2 new sectors. • 30 Workshops for capacity buildings of stakeholders. • Energy savings of 8.67 MTOE • Avoided generation: 5635MW | 16.05 | <ul style="list-style-type: none"> • Baseline verification audit was carried out for identification of new DCs under PAT scheme • Check-verification of 36 DCs of PAT cycle –I was carried out by BEE • The National Mission for Enhanced Energy Efficiency (NMEEE) was revised by BEE as “Roadmap of Sustainable and Holistic Approach to National Energy Efficiency (ROSHANEE)” in order to enhance the existing programme and take into account all the existing initiatives as well as new initiatives which could help in fulfilling the commitments made under the NDCs on a mission mode. Subsequently, a stakeholder consultation meeting was also convened in August 2018 for further discussion on the ROSHANEE document. • The outcome and evaluation study of PAT cycle –I was launched by the Hon’ble Minister of Power in a workshop in September 2018 where the CEOs of the units under PAT cycle –I, heads of the State Designated Agencies and other stakeholders had participated. • In order to build the capacity of DCs, SDAs and AEAs, around 12 regional workshops were conducted by BEE • In order to build the capacity of AEAs, BEE has conducted 2 training workshops for fertilizer and cement sector. | 11.84 |

| | | | | |
|------|--|-------|---|---|
| | | | <ul style="list-style-type: none"> • The enforcement manual for carrying out adjudication under PAT scheme has been developed by BEE. • PAT Cycle –V has commenced from April 2019 in which 110 DCs from the existing sectors of PAT scheme have been notified. • An amendment to Energy Conservation Rules (PAT Rules) has been notified on 26th April 2018 vide G.S.R 409(E). • 10 MoUs were signed by BEE with PAT sectors for adoption of ISO 50001. • Pro-forma and Monitoring & Verification Guidelines for Railways sector under PAT have been developed in February 2019. Also Form A and Form B for refinery sector has been developed by BEE. • During PAT Cycle-I energy savings of 8.67 MTOE was achieved translating into avoiding of about 31 million tons of CO2 emission. | |
| MTEE | <ul style="list-style-type: none"> • Identification of 1 incubation centre • Demonstration of 1 Energy Efficient product | 7.5 | This component was transferred to EESL | |
| EEFP | <ul style="list-style-type: none"> • 50 banking officials trained for EE finance • 4 capacity building workshops/ conferences for ESCOs/industries with at least 75 participants | 153.5 | <ul style="list-style-type: none"> • 361 banking officials trained for EE finance • 6 workshops were conducted with 500 professionals from ESCOs, Energy Auditors, Energy Managers undergone training on technical and financial aspects of ESCO business model | <ul style="list-style-type: none"> • Rs. 0.74 crore against Rs. 1.5 crore • For PRGFEE and VCFEE no funds were withdrawn as MoP had put condition for |

| | | | |
|-------|---|---|--|
| | in each workshop | | using 80% of existing fund before drawing next tranche |
| FEEED | <ul style="list-style-type: none"> • Guarantee for INR 80 Crores under PRGFEE. • Equity investment worth INR 35 Crores under VCFEE. | <ul style="list-style-type: none"> • Implementing Agency for PRGFEE was not able to issue any guarantee and their contract was not extended beyond 15th Jan 2019. • VCFEE was not operationalized as none of the Public financial institutions showed interest in becoming Fund Manager for VCFEE. | |

Table 6: Approved output/outcome and achievements for FY 2019-20

| NMEEE | 2019-20 | | Achievement | |
|------------|--|-----------|--|-----------------------|
| Components | Physical | Financial | Physical | Financial (Rs. crore) |
| PAT | <ul style="list-style-type: none"> Commencement of PAT Cycle V 30 Workshops for capacity buildings of stakeholders M&V of PAT cycle-II Energy savings of 17.54 MTOE (8.67 MTOE for PAT cycle I and 8.869 MTOE for PAT cycle II) Avoided generation: 11400MW | 22.55 | <ul style="list-style-type: none"> Baseline verification audit was carried out for identification of new DCs under PAT scheme for about 230 DCs. The first phase of Check-verification of 36 DCs of PAT cycle –II has been carried out by BEE. Second phase of check-verification of 28 DCs of PAT cycle –II has also been completed. The National Mission for Enhanced Energy Efficiency (NMEEE) was revised by BEE as “Roadmap of Sustainable and Holistic Approach to National Energy Efficiency (ROSHANEE)” in order to enhance the existing programme and take into account all the existing initiatives as well as new initiatives which could help in fulfilling the commitments made under the NDCs on a mission mode. ROSHANEE document was released on 14th May 2019 by Secretary (MoP). The outcome and evaluation study of PAT cycle –II has been carried out by BEE. The same is under publication. BEE had also released the revised Monitoring & Verification guidelines. In order to build the capacity of DCs, SDAs and AEAs, around 32 regional workshops and webinars were conducted by BEE Feasibility study for five sectors namely Chemicals, Glass, Sugar, Ceramics, Non-Ferrous Metals | 16.25* |

| | | | | |
|------|--|------|---|--|
| | | | <p>(Zinc and Copper) has been completed by BEE.</p> <ul style="list-style-type: none"> • PAT Cycle –VI has commenced from April 2020 in which 135 DCs have been notified with an overall energy saving target of 1.277 MTOE. • Monitoring & Verification of DCs of PAT cycle –II has been completed by BEE for 621 DCs. • Out of the 10 industries that were selected for implementation of ISO 50001, implementation in 9 industries were completed. • For energy mapping of Thermal Power Plants, 10 industries were selected. The same has been completed for the selected 10 DCs. • Multimedia tutorials for demonstration of Energy Management Systems for PAT sectors have been developed by BEE. • For energy mapping of Iron & Steel Plants, 39 industries were selected. Draft Reports were received from 37 industries out of the selected 39 industries. • Impact assessment study for the initiatives under NMEEE has been completed by BEE. • Verification of performance of DCs under PAT cycle –II resulted into energy savings of about 14.08 MTOE. Total energy savings of 23 MTOE was achieved from PAT Cycle-I and PAT Cycle-II. | |
| MTEE | <ul style="list-style-type: none"> • Commercialisation of demonstrated Energy Efficient product. • Identification of 1 new technology. | 11.5 | This component was transferred to EESL | |

| | | | | |
|-------|---|-------|--|---|
| EEFP | <ul style="list-style-type: none"> • 50 banking officials trained for EE finance • 4 capacity building workshops/ conferences for ESCOs/industries with at least 75 participants in each workshop | 163.5 | <ul style="list-style-type: none"> • Training prog was ended on 31st March 2019 as target was over achieved by 2018-19. • 5 workshops were conducted with 250 professionals from ESCOs, Energy Auditors, Energy Managers undergone training on technical and financial aspects of ESCO business model | <ul style="list-style-type: none"> • Rs. 0.24 crore against Rs. 1.5 crore • For PRGF EE and VCFEE no funds were withdrawn as MoP had put condition for using 80% of existing fund before drawing next tranche |
| FEEED | <ul style="list-style-type: none"> • Guarantee for INR162 Crores under PRGFEE. • Equity investment worth INR 40 Crores under VCFEE | | <ul style="list-style-type: none"> • To create pipeline of projects for PRGFEE, under IFC Eco cities project IGDPs were prepared for 190 SMEs through 4 ESCO firms in Pune, Greater Mumbai, Chennai and Bangalore. Total investment potential of approx. Rs. 200 crore was identified in EE projects where Rs. 1.58 crore was financed by banks and approx. Rs.8 crore was self-financed by SMEs. • VCFEE was not operationalized as none of the Public financial institutions showed interest in becoming Fund Manager for VCFEE. | |

*Under PAT the committed expenditure from FY 2019-20 of Rs. 13.54 crore was realized till December 2020.

8. Existing and proposed funding pattern (in a tabular form) along with rationale

A. Existing Funding Pattern for FY 2017-18 to FY 2019-20 has been provided in Tables 4, 5 and 6 in para no. 7 of this SFC.

8.1 It is proposed to seek total funding of Rs. 167 crore from Gross budgetary support of Government of India for 5 years (FY 21-22 to FY 25-26), year wise break-up is given below.

Table7: Year wise planned activities

Financial figures in INR Crore

| S. No | Activity | Years (tentative break-up) | | | | | Total (Rs. Crore) |
|-------|--|----------------------------|--------------|--------------|--------------|--------------|-------------------|
| | | 2021-22 | 2022-23 | 2023-24 | 2024-25 | 2025-26 | |
| 1 | Perform, Achieve and Trade | 10.65 | 19.55 | 20.65 | 28.30 | 30.85 | 110.00 |
| 1.1 | PATNet and Trading of ESCerts: fee for IT Agency, hardware & software; fee for Consulting Agency for | 1 | 1.5 | 1.5 | 2 | 2 | 8 |

| S. No | Activity | Years (tentative break-up) | | | | | Total (Rs. Crore) |
|-------|--|----------------------------|-------------|-------------|----------|-------------|-------------------------|
| | | 2021- 22 | 2022- 23 | 2023- 24 | 2024-25 | 2025- 26 | |
| | ESCerts fungibility, expiry and accounting complexities, high speed internet line, PATNet helpdesk support, mobile App, etc. | | | | | | |
| 1.2 | Feasibility/ Identification study of new sectors,Baseline audits and Target setting | 0.5 | 2 | 3 | 4 | 4 | 13.5 |
| 1.3 | Training and Capacity Building of Stakeholders for PAT | 0.5 | 1 | 1 | 1.5 | 2 | 6 |
| 1.4 | Empanelment of accredited energy auditors for verification and check verification | 0.05 | 0.05 | 0.5 | 0.05 | 0.05 | 0.7 |
| 1.5 | Monitoring & verification and Check verification of Designated Consumers (DCs) for Compliance cycles or as and when required | 0.5 | 1 | 1 | 2 | 2 | 6.5 |
| 1.6 | Energy Management System for PAT sectors including Awareness, certificates. | 0.5 | 0.5 | 0.5 | 0.5 | 0.5 | 2.5 |
| 1.7 | Demonstration /Promotion of Cross Cutting Technologies, innovations for PAT Sectors, digital knowledge platform | 2 | 4 | 4 | 5 | 5 | 20 |
| 1.8 | Energy Mapping of PAT Sectors, Industry 4.0 and ISO 50001 | 0.1 | 0.5 | 0.8 | 0.9 | 1 | 3.3 |
| 1.9 | Enhancement of energy efficiency market (Development of Voluntary EE Carbon Market) | 1 | 1 | 0.35 | 0.35 | 0.3 | 3 |
| 1.10 | Development of PAT cell at SDAs with 5 experts | 3.5 | 5 | 5 | 8 | 9 | 30.5 |
| 1.11 | EE demonstration projects for buildings under PAT sector | 1 | 3 | 3 | 4 | 5 | 16 |
| 2 | FEED - Energy Efficiency Financing Platform (EEFP) | 4 | 6.25 | 5 | 5 | 6.75 | 27 |

| S. No | Activity | Years (tentative break-up) | | | | | Total (Rs. Crore) |
|---------|---|----------------------------|------------|----------|----------|----------|-------------------|
| | | 2021-22 | 2022-23 | 2023-24 | 2024-25 | 2025-26 | |
| 2.1 | Capacity Building of Financial Institutions and outreach activities; investment bazaar summits, conferences, webinars, etc. | 2 | 1.5 | 0.5 | 1 | 1 | 6 |
| 2.2 | Fiscal incentives: for hiring agency for preparing tax proposal; and for hiring Agency to implement Partial tax reimbursement scheme for 5 star rated appliances (marketing cost, consulting agency cost) | 0.5 | 2 | 3 | 2 | 3.75 | 11.25 |
| 2.3 | Demonstration projects for any financing schemes; studies, reports for financing schemes | 0 | 0.25 | 0.5 | 1 | 1 | 2.75 |
| 2.4 | EE financing cells for Public sector banks and Public financial institutions (@Rs 24 lakh per FI per annum) | 0 | 1 | 1 | 1 | 1 | 4 |
| 2.5 | Grading of EE projects | 1.5 | 1.5 | 0 | 0 | 0 | 3 |
| 3 | EEPR - Framework for Energy Efficient Economic Development (E3ED) | 1.52 | 1.5 | 1.5 | 1.5 | 1.5 | 7.52 |
| 3.1 (a) | Energy Efficiency Financing Facility – Facilitation centre and digital platform for FIs | 1.52 | 1.5 | 1.5 | 1.5 | 1.5 | 7.52 |
| 3.1 (b) | Energy Efficiency Financing Facility – reimbursement of transaction cost for FIs | 0 | 0.5 | 0.5 | 1 | 1 | 3 |
| 3.2 | Creating SPV for EE financing* | 2 | | | | | 2 |
| 3.3 | Scheme for MFIs financing (for revolving fund with SDAs, hiring of Agency for demo projects, marketing & awareness) | 1.5 | 1.1 | 0 | 0 | 0 | 2.6 |
| 3.4 | Interest subvention scheme for EE loans by 5 SDAs | 0.25 | 0.88 | 1.25 | 1.25 | 1.25 | 4.88 |
| | Other activities | 1.5 | 1.5 | 2 | 2 | 3 | 10 |

| S. No | Activity | Years (tentative break-up) | | | | | Total (Rs. Crore) |
|---|--|----------------------------|--------------|--------------|--------------|--------------|-------------------|
| | | 2021-22 | 2022-23 | 2023-24 | 2024-25 | 2025-26 | |
| 4 | Studies - Need/Impact Assessment, Potential assessment study, international benchmark study and outcome study. | 0.5 | 0.5 | 1 | 1 | 1 | 4 |
| 5 | Monitoring, communication and Outreach (PR Agency cost; Advertisement in print media, electronic & social media; Videos on EE technologies; videos on EE financing; training manuals for DCs, FIs, SDAs, etc.) | 1 | 1 | 1 | 1 | 2 | 6 |
| Total funds required in Rs. Crores | | 21.43 | 31.28 | 30.90 | 39.05 | 44.35 | 167 |

*For creating SPV certain administrative cost is sought for taking services of any Agency/Consultant, registration charges, documentation, etc.

Note: The expenditure listed in above table is indicative. Year wise approval shall be sought as per programme requirement.

8.2. Rationale for Proposed funding pattern:

8.2.1. In view of the expansion of scheme to new sectors and corresponding manpower requirement, the expenditure for the existing activities as well as additional efforts is expected to increase.

This mission/ Energy Conservation scheme includes the following three initiatives to enhance energy efficiency along with their achievements.

8.2.2. Perform, Achieve and Trade (PAT): PAT is a regulatory instrument to reduce specific energy consumption in energy intensive industries, with an associated market-based mechanism to enhance the cost effectiveness through certification of excess energy saving which can be traded. It is an indigenously developed programme to enhance the cost effectiveness of improvements in energy efficiency in energy intensive large industries listed in schedule of EC Act, 2001. The energy savings is translated into tradable instruments called Energy Savings Certificates (ESCs). Those industries which over achieve their targets are issued energy saving certificates and those who are not able to achieve are entitled to purchase energy saving certificates for compliance. The platform for trading is the existing power exchanges. However, those who do not achieve their target and do not adopt the option of buying ESCs for compliance would be required to pay equivalent penalty as prescribed under the Energy Conservation Act.

a) Achievements:

- PAT Cycle I was completed in March, 2015. The energy savings achieved in PAT Cycle –I is 8.67 MTOE which was excess of 30 percent against the target of 6.686 MTOE. This energy saving translates into avoiding about 31 million tonne of CO₂ emission. In PAT

cycle I, Ministry of Power issued approximately 38.25 lakh ESCerts to 309 Designated consumers while 110 Designated Consumers were directed to purchase ESCerts for their compliance. For PAT cycle I, trading of approx. 13 lakh ESCerts took place between September 2017 to Jan 2018, with overall business of Rs.100 crores and 96% of the Designated Consumers (buyers) met their compliance.

- The second cycle of PAT that ended on 31st March 2019 resulted into energy savings of about 14.08 Million tonnes of Oil Equivalent (MTOE) translating into avoiding of about 66 million tonnes of Carbon dioxide. Trading of ESCerts for PAT cycle II shall commence soon. PAT cycle -III has been completed in March 2020 with the evaluation of 116 new DCs and the monitoring and verification of the energy savings in progress. In April 2020, PAT cycle VI (2020-21 to 2022-23) has been notified wherein 135 Designated Consumers (DCs) with a total energy saving target of 1.277 MTOE have been included. Further, Energy savings of approximately 25 MTOE has been estimated to be achieved under the PAT scheme till completion of PAT cycle VI, with the participation of 1073 DCs and mitigating approximately 70 million tonnes of Carbon dioxide emissions.
- PAT scheme shall be expanded in next 5 years to include more sectors as well as more (consumers) units. For existing sectors feasibility and benchmarking exercises will form part of activities that would be included to further expand the coverage of PAT Scheme.

b) Additional activities: List of few new activities is given below with more details placed at **Annexure-II**. It is proposed to create a new SPV for implementing financing activities and for implementation of energy efficient technologies.

- i. Development of mobile App for PATNet
- ii. Expansion of PAT scheme for DCs and non-DCs (industrial and non-industrial)
- iii. Development of Voluntary Energy Efficiency Carbon Market in India
- iv. Circular Resource Utilization studies/demonstration
- v. Comprehensive Digital Knowledge Platform for Energy Efficiency
- vi. Promotion of cross-cutting technologies for PAT sectors including setting up demonstration centre/ centre for excellence
- vii. Implementation of ISO 50001:2018 standards in PAT industries
- viii. Facilitating adoption of Industry 4.0 in PAT Industries on pilot basis
- ix. Development of PAT cells in SDAs for monitoring and verification
- x. Pilot projects in buildings under PAT scheme

8.2.3. FEEP - Energy Efficiency Financing Platform (EEFP)

Under Financing Energy Efficiency Programme (FEEP) - EEFP provides platform to Financial institutions and other stakeholder for accelerating energy efficiency financing. MoUs with M/s. Power Trading Corporation India Ltd (PTC), M/s. Small Industries Development Bank of India (SIDBI), Hongkong and Shanghai Banking Corporation (HSBC), Tata Capital and IFCI Ltd have been signed by BEE to promote financing for energy efficiency projects main objective of these MoUs is to promote lending for energy efficiency projects. BEE signed MoU with Indian Banks' Association for the Training Programme on Energy Efficiency Financing for capacity building workshops of FIs. Under National Energy Conservation Awards (NECA) a category for financial institutions was added to promote EE financing. Annually tax incentives proposal for energy efficiency

projects/ technologies are also prepared and submitted to MoP. Scheme for grading of energy efficiency projects with rating agencies is also being developed. It is proposed to reimburse cost of grading of 100 EE projects, maximum Rs. 3 lakh per project, which is financed by financial institutions.

a) Achievement:

- These capacity building workshops were held in two phases. In Phase – 1, Four (4) of Training of Trainers (ToTs) workshops and 2 Nos. of direct training workshops were completed. In Phase – 2, Twenty Two (22) of direct training workshops on “EE Financing” for Financial Institutions were organised at different locations (17 states) across India. In these workshops, a total of 682 participants from 72 banks/NBFCs banks/ NBFCs received training on EE financing. This training programme was successfully completed on 31st March 2019 in which almost all public sector banks were covered and majority of private sector banks were also covered. In 2017 Hon’ble Power Minister launched Guidelines for financing energy efficiency projects in India.

b) List of new components under EEFPP and their corresponding implementation agencies is given below, and for more details please refer **Annexure-II**.

Table 8: Implementing Agency for various components

| Components of EEFPP | Main objective | Implementing Agency |
|---|---|---|
| (i) Investment bazaars | Platform for showcasing case studies of EE projects already financed and new EE projects for which financing is sought and for showcasing new EE technologies | SDAs |
| (ii) Capacity building programme for Financial institutions | To conduct awareness programmes for FIs | An expert agency shall be appointed by BEE |
| (iii) Committee of financial institutions at SDA level | To facilitate financing of EE projects at state level | SDAs |
| (iv) Awareness programme for SBI Energy Efficient Housing programme | To promote housing finance for Eco Niwas compliant residential buildings | SBI has already been appointed by KfW |
| (v) Tax reimbursement to HT consumers for procuring BEE's 5 star rated appliances | (i) To prepare tax incentives proposal for EE appliances/ technologies; and (ii) demo project for partial tax (GST) reimbursement to SMEs and DCs of PAT scheme on purchase of BEE's 5 star rated EE appliances | An agency shall be appointed by BEE for verification and tax reimbursement, and support of DISCOMs may also be sought |
| (vi) EE financing cells | To establish EE financing cells for Public sector banks and | To appoint an Agency who will coordinate with |

| | | |
|------------------------------|--|---|
| | Public sector NBFCs (@Rs 24 lakh per FI per annum) | these FIs for establishing EE financing cells |
| (vii) Grading of EE projects | To get the grading report of energy efficiency project, BEE shall reimburse actual cost of grading, not exceeding Rs. 3 lakhs per project, to FI who will adjust this reimbursement amount in 12 months EMI of the borrower. This will help FIs in identifying viable EE projects. | BEE shall empanel grading agencies and FIs for this programme |

8.2.4. FEEP - Framework for Energy Efficient Economic Development (FEEED): Under Financing Energy Efficiency Programme (FEEP) the component FEEED is for development of fiscal instruments to promote energy efficiency. FEEED is designed to provide comfort to lenders with the provisions of risk guarantee for performance contracts.

Achievements and New Components

a) Energy Efficiency Financing facility (EEFF): BEE has proposed a dedicated financing facility anchored by PFC and IREDA for taking care of financing requirements of large industries, project aggregation approach covering MSME clusters/ ESCO projects, re-financing to Banks who wish to lend for Energy Efficiency projects, upcoming energy efficiency areas such as smart grids, electric vehicles, and charging infrastructure. Minimum threshold for EE project to be financed by IREDA is Rs. 3 crore and for PFC it is Rs. 5 crore.

- i. BEE is in process of establishing a **Facilitation centre** who will confirm if loans are EE loans to FIs and will also create pipeline of EE projects by marketing & promotion activities. This centre shall also facilitate for identifying EE technologies for FIs and shall develop **digital platform** to connect with FIs and get regular EE financing data.
- ii. To encourage FIs in lending for EE loans upto Rs. 1 crore to **MSMEs and start-ups**, it is proposed if transaction cost of Rs. 2 lakh per project ranging between Rs. 25 lakh to Rs. 1 crore may be reimbursed to FI after disbursement of 100% loan to the borrower. All scheduled commercial banks (except foreign banks) and public sector NBFCs may be covered under this scheme.

b) Creation of SPV for handling all EE financing programmes:

Under NMEEE, PRGFEE and VCFEE schemes were created to promote the Energy Efficiency financing in India. However, these schemes didn't take off due to lack of interest shown by Financial Institutions in implementing both the guarantee fund as well as equity fund. Though EESL was initially established to implement EE activities, and in last 10 year they came out with innovative EE programmes such as UJALA, PAVAN, etc. which has successfully transformed the market towards energy efficiency. However, requirement of dedicated institution for financing energy efficiency was increasingly felt.

It is proposed that for implementing various financing initiatives such as partial risk guarantee, direct lending and refinancing to banks for EE loans a new SPV as NBFC/ Public Financial Institution may be created by BEE/MoP or any PSU like PFC or REC may be given this role. This SPV shall be an exclusive NBFC established for financing EE technologies and appliances in India and it will help in funding small ticket size EE loans as well as big EE loans to all industrial sectors and stakeholders.

c) Additional activities under FEEED are listed below and for details please refer **Annexure-II**.

- i. Financing to low income groups through Micro Financial Institutions (MFIs)
- ii. Interest subvention scheme for EE loans by 5 SDAs

d) List of components under FEEED and their implementing agencies is given below:

Table 9: Implementing Agency for various components

| Components of FEEED | Main objective | Implementing Agency |
|---|--|---|
| (i) EEEF | To promote direct financing of EE loans | IREDA and PFC (proposed to include all scheduled commercial banks and all Public financial institutions) |
| (ii) creation of SPV | To handle financing programmes like interest subsidy, capital subsidy, risk guarantee. | SPV or dedicated wing at PFC/REC |
| (iii) Financing to low income groups through MFIs | To facilitate financing of BEE's star rated appliances by MFIs in states | For demo projects with few states Rs. 50 lakh shall be given to each SDA, and Self-Regulatory Organization (SROs) recognized by RBI |
| (v) Interest subvention scheme for EE loans by 5 SDAs | To provide 1% interest subvention to EE loan borrowers in 5 states where SDAs have established FIs committees like – Uttar Pradesh, Andhra Pradesh, Maharashtra, Madhya Pradesh and Arunachal Pradesh. | SDAs |

B. Monitoring framework:

The continuous monitoring and evaluation is essential for the performance of activities under the scheme. The scheme also needs continuous supervision by the technical and administration authorities listed below:

- i. The progress of NMEEE is monitored by Ministry on Monthly basis through two reporting instruments i.e. Ministry's Action Plan and e-samiksha.
- ii. The quarterly progress is monitored by MoEF&CC and gets reported to PMO.
- iii. The PMO with its Executive Committee on Climate Change (ECCC) monitors the progress of this mission along with other Missions under NAPCCC on periodic basis.
- iv. Technical / sectoral committees under respective components provide suggestions on regular basis
- v. Management Advisory Committee (MAC) and Policy Advisory Committee (PAC) also review the progress of all the components of NMEEE.
- vi. A Monitoring Committee will be constituted under the scheme guidelines to monitor the progress and implementation of various components.

C. Impact Assessment:

For Impact assessment /Evaluation of this scheme provision has been made. If necessary, mid-term assessment may also be done for sub-components during the period.

9. Major findings of evaluation/ output review and comments of Ministry/Department on each observation of the scheme (attach evaluation report)

NMEEE is a continuing scheme. Important findings of Impact Assessment report and the evaluation report are attached at **Annexure-A**. Action taken against the recommendations are listed in **Annexure-I**, and the important recommendations are listed below:

1. Perform, Achieve and Trade (PAT)

- a) Expansion of the PAT scheme in future cycles by inclusion of new industrial sector into the PAT scheme through deepening and widening initiatives
- b) Voluntary PAT programme be initiated for non-DC participants with access the ESCerts Markets and given favourable tax benefits
- c) Strengthen the resource availability at SDA with separate portfolios/Schemes assigned to different officials for effective implementation of the schemes
- d) Accelerate the efforts being made towards training and capacity building and knowledge exchange across various stakeholders
- e) BEE may support DCs towards identifying pool of technology and engineering companies with sound reputation
- f) The price of ESCerts should be allowed to vary within a range so that there is sufficient incentive for progressive industries to invest in EE projects.

2. Market Transformation for Energy Efficiency (MTEE)

- a) Explore new potential appliances which could be brought under the SEEP programme such as air conditioner, refrigerator through incentive schemes.
- b) Newly identified appliance could be promoted under demand aggregation model with reduced product cost and large scale market penetration.
- c) For exchanging the faulty LED bulbs under warranty, EESL could be brought into make it convenient for consumers to return the faulty bulbs by conducting periodic collection drives or collaborating with local retail shops.

3. Energy Efficiency Financing Platform (EEFP)

- a) Financial institutions could be roped in come out with new financing schemes for EE projects
- b) More interactive sessions may be conducted across India for Financial Institutions
- c) State Designated Agencies should also be encouraged and supported to start the same in order to enable financial institutions to address financing issues at the state level itself.
- d) More training workshops could be conducted for FIs

4. Framework for Energy Efficient Economic Development (FEEED)

- a) "Online application tracker " can be created wherein the sharing information among various stakeholders like BEE, IA and PFIs will be effective.
- b) Empanelling more FIs and expanding the scope of PRGFEE to facility owners and private EE investors.
- c) Separate agency is proposed to be hired for developing robust marketing plan and awareness about PRGFEE programme and FIs should be trained more regarding EE.
- d) To foster the uptake of VCFEE, it is proposed to include large scale as well as MSMEs under VCFEE.
- e) Proposed to change BoT structure for VCFEE

10. Major changes/departure proposed from earlier scheme along with justification

- A. As per the initial structure, under market transformation for energy efficiency (MTEE), two programmes were envisaged i.e.

(1) Bachat Lamp Yojana (BLY)

BLY scheme was to provide Energy Efficient CFLs at the same cost i.e. Rs.15, as of Incandescent Bulbs. The cost differential was made up by project implementer through carbon credits earned which could be traded in the International market under Clean Development Mechanism (CDM) of Kyoto Protocol. The scheme aims at the large-scale replacement of incandescent bulbs in households by CFLs. The Scheme was designed as a public-private partnership between the Government of India, private sector CFL suppliers and State level Electricity Distribution Companies (DISCOMs). The development of CDM projects was a voluntary action on the part of BEE, investors and DISCOMs.

Achievements:

- 50 CDM Project Activities (CPAs) i.e. 9 CPAs from Andhra Pradesh, 20 CPAs from Kerala, 7 CPAs from Karnataka, 2 CPAs from Goa, 5 CPAs from Delhi and 7 CPAs from Punjab are included in the registered PoA.
- 29 million CFLs have been distributed under the BLY scheme during XIth plan.
- An Avoided Generation Capacity of 415 MW has been achieved by the CFL distribution under BLY scheme.
- The monitoring & verification process of the BLY PoA has commenced for issuance of Carbon Emission Reduction CERs for the completed projects. Based on Monitoring and Verification Report of BEE, 26,92,440 Certified Emissions Reductions (CERs), equivalent to as many tones of CO₂ reduction, have been issued by United Nations Framework Convention on Climate Change (UNFCCC).

Total sales of CFLs have increased to 453 million (in 2013) from 200 million (in 2008) when the Bachat Lamp Yojana (BLY) was conceptualized. The doubling of CFL market, even though BLY has contributed to only about 15% of the increase, suggests that the market transformation under BLY has occurred.

However, a new technology i.e LED in the field of lighting technology has taken over the market transformation as the savings are significantly high in comparison to CFL bulbs. BEE has been supporting the States in implementing pilot projects on showcasing the effectiveness of LED technology and later on EESL has taken over the project for replacement of inefficient lighting system with LEDs under a Super ESCO business model.

(2) Super-Efficient Equipment Programme:

Super-Efficient Equipment Program (SEEP) is a program that aims to bring market transformation for super-efficient equipment/appliances. For which, provision of a time-bound financial incentive was made to manufacturers for producing and selling super-efficient equipment that consumes 50% less energy than market average consumption. Under this program innovative business models are also explored to bring market transformation for super-efficient equipment/appliances. In last 3 years, activities envisaged under this programme have been undertaken by EESL through distribution of energy efficient LED lamps, ACs, fans, motors, etc.

(3) Rationale for closing MTEE:

Since EESL is now entrusted the role of market transformation for EE appliances by bulk procurement and distribution of EE appliances such as LED bulbs, fans, ACs, motors, etc., this MTEE component comprising of both BLY and SEEP may be dropped from this proposed scheme.

B. Closure of Partial Risk Guarantee Fund For Energy Efficiency (PRGFEE) & Venture capital fund for Energy Efficiency (VCFEE) schemes under FEEED:

Both the funds have not been able to take off, despite persistent efforts for many years, Management Advisory Committee (MAC) of BEE, headed by Secretary (Power) during its 20th

meeting on 12th March 2021 recommended that both the funds may be short closed and the amount available with BEE along with interest may be returned to MoP.

11. Major changes in costing norms, if any

11.1) Under NMEEE, PRGFEE and VCFEE schemes were created to promote the Energy Efficiency financing in India. However, these schemes didn't take off due to lack of interest shown by Financial Institutions in implementing both the guarantee fund as well as equity fund. Although EESL was established to implement all schemes under National Mission for Enhanced Energy Efficiency (NMEEE) but since it is not a financial institution so it could not be exclusively selected as Implementing Agency or Fund Manager for either PRGFEE or VCFEE.

11.2) During 3-year plan i.e. FY 2017-18 to 2019-20, it was proposed to withdraw Rs. 242 crore for PRGFEE and Rs. 72 crore for VCFEE from government budget, in view of fund size of Rs. 311 crore approved for PRGFEE (in Twelfth Plan) and Rs. 100 crore approved for VCFEE (during 3-year plan FY 2017-18 to FY2019-20). However, the SFC of 3-year plan i.e. FY 2017-18 to 2019-20 had also directed that undisbursed funds under PRGFEE and VCFEE, i.e. Rs. 70.08 crore and Rs. 28.91 crore respectively, would be utilized first and fresh tranches will be sought only after 80% of previous tranche has been committed/ disbursed. But due to non-utilization of the undisbursed funds in both the aforementioned funds the fresh tranches for PRGFEE and VCFEE were not sought. Since both the funds have not been able to take off, despite persistent efforts for many years, Management Advisory Committee (MAC) of BEE, headed by Secretary (Power) during its 20th meeting on 12th March 2021 recommended that both the funds may be short closed and the amount available with BEE along with interest may be returned to MoP.

11.3) Hence, it is proposed that for implementing new financing schemes such as newly designed partial risk guarantee, direct lending and refinancing to banks for EE loans, a new SPV can be set up. This SPV may be created by BEE/MoP or any PSU like PFC or REC as a dedicated wing. This SPV shall be an exclusive unit established for financing EE technologies and appliances in India and it will help in funding small ticket size EE loans as well as big EE loans to all sectors and stakeholders.

12. Convergence architecture with other central government schemes

Not Applicable.

13. Rationale for continuation

13.1) National Action Plan on Climate Change (NAPCC) was released by the Government of India in 2008, recognizing the need to maintain a high growth rate for increasing living standards of the vast majority of people and reducing their vulnerability to the impacts of climate change. NMEEE is the key component of National Action Plan on Climate Change (NAPCC) in which it reflects the intention of Govt on achieving energy efficiency in India from all sectors of economy having substantial potential of energy efficiency improvement. The Cabinet in its meeting held in June 2010 approved the NMEEE Mission document, subsequently, it has got extension during Twelfth Plan as well as during the plan period 2017-18 to 2019-20.

13.2) This Mission aims for reducing GHG emissions to meet India's Nationally Determined Contributions (NDCs) by 2030 and beyond. NMEEE aims to strengthen the market for energy efficiency by creating conducive regulatory and policy regime and has envisaged fostering innovative and sustainable business models to the energy efficiency sector. NMEEE is important to continue and broaden the scope of market driven approach of innovative policy, regulatory and financing models for accelerated enhancement of energy efficiency in India. The desirability of continuing NMEEE is also recognized by Parliamentary Standing Committee on Energy, the Executive Committee on Climate Change (ECCC) under PMO as well as Group of Secretaries for Energy Conservation and Efficiency with the view that energy efficiency has promise of meeting about 40-50% of the mitigation required to meet this national and international goal of limiting global temperature rise to below 2 degree centigrade. This NMEEE scheme has been included as **"Energy Conservation Scheme"**, which is an on-going scheme. The Mission components are redesigned as Roadmap of Sustainable and Holistic Approach to National Energy Efficiency (ROSHANEE) to align with India's NDC goals.

14. Proposed output/outcomes year wise

Table 10: Output/deliverables for each year (financial figures are in Rs. crore)

| Co mp one nts | Activities | 2021-22 | | 2022-23 | | 2023-24 | | 2024-25 | | 2025-26 | |
|------------------------|--|---|---------------|--|---------------|--|---------------|--|---------------|--|---------------|
| | | Physical | Finan cial | Physical | Finan cial | Physical | Finan cial | Physical | Finan cial | Physical | Finan cial |
| PAT | 1) PATNet and Trading of ESCerts | Registration of new designated consumers on PATNet | 1 | Registration of new designated consumers on PATNet | 1.5 | Registration of new designated consumers on PATNet | 1.5 | Registration of new designated consumers on PATNet | 2 | Registration of new designated consumers on PATNet | 2 |
| | 2) Identification of new sectors, Baseline audits and Target setting | Identification of 2 new sectors. Baseline study of around 100 DCs | 0.5 | Baseline study of around 100 DCs | 2 | Identification of 2 new sectors and Baseline study of around 100 DCs | 3 | Baseline study of around 100 DCs | 4 | Identification of 2 new sectors and Baseline study of around 100 DCs | 4 |
| | 3) Training and Capacity Building of Stakeholder for PAT | 25 | 0.5 | 30 | 1 | 30 | 1 | 35 | 1.5 | 40 | 2 |
| | 4) Empanelment of accredited energy auditors for verification and check verification | 30 | 0.05 | 40 | 0.05 | 40 | 0.50 | 45 | 0.05 | 45 | 0.05 |
| | 5) Demonstration of Energy | | 0.5 | | 0.5 | | 0.5 | | 0.5 | | 0.5 |

| | | | | | | | | | | | |
|-----|---|-----------------------------------|------|--|-----|--|------|-----------------------------------|------|-----------------------------------|-----|
| | Management System for PAT sectors[Awareness and certifications] | | | | | | | | | | |
| 6) | Monitoring and verification (M&V) and Check verification (CV) of Designated Consumers (DCs) for Compliance cycles | M&V : 116 DCs CV: About 20 DCs | 0.5 | M&V : 109 DCs CV: About 20 DCs | 1 | | 1 | | 2 | M&V : 150 DCs CV: About 20 DCs | 2 |
| 7) | Demonstration/ Promotion of Cross Cutting Technologies for PAT Sectors | 6 projects | 2 | 10 projects | 4 | M&V : 110 DCs CV: About 20 DCs | 4 | M&V : 135 DCs CV: About 20 DCs | 5 | 20 projects | 5 |
| 8) | Energy Mapping of PAT Sectors | 2 sectors | 0.10 | 2 sectors | 0.5 | 3 sectors | 0.80 | 4 sectors | 0.90 | 5 sectors | 1 |
| 9) | Enhancement of energy efficiency market (Development of Voluntary EE Carbon Market) | Setting up of PMU | 1 | Design and Development &Regulatory Framework | 1 | Operation and Stakeholder consultation | 0.35 | Operation and Trading | 0.35 | Operation and Trading | 0.3 |
| 10) | Development of PAT cell at SDAs with 5 experts | Setting up of PAT cell | 3.5 | Operation of cell | 5 | Operation of cell | 5 | Operation of cell | 8 | Operation of cell | 9 |
| 11) | EE projects in buildings under PAT | 2 projects | 1 | 5 projects | 3 | 5 projects | 3 | 5 projects | 4 | 5 projects | 5 |

| EEFP and FEEED | 1) EEFP | 1) | 1) 4 | 1) | 1) 6.25 | 1) | 1)5 | 1) | 1) 5 | 1) | 1) 6.75 |
|----------------|--|--|---------|--|---------|--|---------|--|---------|--|---------|
| | 2) FEEED | 2) | 2) 5.28 | 2) | 2) 3.98 | 2) | 2) 3.25 | 2) | 2) 3.75 | 2) | 2) 3.75 |
| | a) Identification of EE technologies for financing by banks/NBFCs – with its average investment cost and payback period b) To organize workshops/meetings, investment bazaars for Capacity building of Banks/NBFCs for EE investments and promotion of EE technologies/appliances c) demonstration project for tax reimbursement to HT consumers in one state/NCR d) EE financing cells in public sector banks & public sector NBFCs e) grading of EE projects | a) 30 b) 20 c) demo project NCR d) NIL e) grading of 100 EE projects/loans | | a) 30 b) 20 c) demo project in NCR d) establish and maintain EE financing cells e) NIL | | a) 30 b) 20 c) demo project in NCR d) establish and maintain EE financing cells e) NIL | | a) 30 b) 20 c) NIL d) establish and maintain EE financing cells e) NIL | | a) 30 b) 20 c) NIL d) establish and maintain EE financing cells e) NIL | |
| | a) SPV for EE financing b) EEF c) Low income group financing through MFIs d) interest subvention for EE loans | Financing of EE loans | | Financing of EE loans | | Financing of EE loans | | Financing of EE loans | | Financing of EE loans | |

NMEEE emphasizes on implementation of energy efficiency improvement activities through regulatory and policy measures coupled with market mechanisms.

The measurable outcomes for this Energy conservation scheme are given in the table below.

Table 11: Year wise measurable indicators/ outcome of the scheme are:

| Name of Scheme | 2021-22 | 2022-23 | 2023-24 |
|----------------|--|---|---|
| PAT | <ul style="list-style-type: none"> • Commencement of PAT cycle -VII • Study and analysis for identification of new sectors for inclusion under PAT • Potential Assessment study including benchmarking • Baseline verification for identification of new DCs from existing sectors and new identified sectors • Capacity building workshops • Certification and refresher and skill upgradation courses • Monitoring & Verification of PAT cycle -IV • Energy Savings of 1.06 MTOE • Check Verification (PAT cycle -III and IV) • Setting up of PMU for development of Voluntary Carbon Market, Development of Concept paper, Detailed Design and Scope, Stakeholder Consultations, Development of Regulatory framework • Workshops with Sectoral & cross-sectoral Stakeholders | <ul style="list-style-type: none"> • Commencement of PAT cycle -VIII • Study and analysis for identification of new sectors for inclusion under PAT • Potential Assessment study • Baseline verification for identification of new DCs from existing sectors and new identified sectors • Capacity building workshops/ webinars • Certification and refresher and skill upgradation courses • 15 workshop for awareness by hired agencies • Maintenance of PATNet and other infrastructural requirement for Trading of ESCerts • Trading of ESCerts • Monitoring & Verification of PAT cycle -V • Energy Savings of 0.5310 MTOE • Check Verification (PAT cycle -IV and V) • Development of impact and outcome study • Hiring an IT-Patner for Design and Development of DKP+ Program for Desktop & Mobile Application, Meetings and Workshops with Stakeholders • On-boarding of demand for participation in the carbon market, Pilot phase launch, Pan India | <ul style="list-style-type: none"> • Commencement of PAT cycle -IX • Identification of new Sectors • Study and analysis for identification of new sectors for inclusion under PAT • Potential Assessment study • Baseline verification for identification of new DCs from existing sectors and new identified sectors • Threshold study • Capacity building workshops/ webinars • Maintenance of PATNet and other infrastructural requirement for Trading of ESCerts • Trading of ESCerts • Monitoring & Verification of PAT cycle -VI • Energy Savings of 0.6998 MTOE • Check Verification (PAT cycle -V and VI) • Meetings and Workshops with Stakeholders, Stakeholder Consultations • Implementation of Study's outcomes on Pilot Project Basis (10 Nos.) • Meetings and Workshops with Sectoral & cross-sectoral Stakeholders |

| | | | |
|----------------|---|--|--|
| | | <p>launch of the programme, Stakeholder Consultations</p> <ul style="list-style-type: none"> • Circular Resource Utilization Studies for PAT Sectors, Meetings and Workshops with Sectoral & cross-sectoral Stakeholders | <p>Analysis and dissemination</p> |
| EEFP and FEEED | <ul style="list-style-type: none"> • Identification of 30 EE technologies/measures with average investment and payback period • 20 capacity building workshops/ meetings • To estimate annual energy efficiency financing by banks/NBFCs • Promotion of EE financing instruments • Development of IT platform for connecting with banks/NBFCs • Process starts for establishment of EE financing cell in nationalized banks and Public sector NBFCs | <ul style="list-style-type: none"> • Identification of 30 EE technologies/measures with average investment and payback period • 20 capacity building workshops/ meetings • To estimate annual energy efficiency financing by banks/NBFCs • Promotion of EE financing instruments • Development of IT platform for connecting with banks/NBFCs • Establishment of EE financing cell in nationalized banks and Public sector NBFCs | <ul style="list-style-type: none"> • Identification of 30 EE technologies/measures with average investment and payback period • 20 capacity building workshops/ meetings • To estimate annual energy efficiency financing by banks/NBFCs • Promotion of EE financing instruments • Development of IT platform for connecting with banks/NBFCs • Establishment of EE financing cell in nationalized banks and Public sector NBFCs |

| Name of Scheme | 2024-25 | 2025-26 |
|----------------|--|--|
| PAT | <ul style="list-style-type: none"> • Commencement of PAT cycle -X • Study and analysis for identification of new sectors for inclusion under PAT • Baseline verification for identification of new DCs from existing sectors and new identified sectors • Capacity building workshops/ webinars • Certification and refresher and skill upgradation courses • Maintenance of PATnet and other infrastructural requirement for Trading of ESCerts • Trading of ESCerts • Monitoring & Verification of PAT cycle -VII • Check Verification (PAT cycle -VI and VII) • Meetings and Workshops with Stakeholders • Implementation of Study's outcomes on Pilot Project Basis (10 Nos.) | <ul style="list-style-type: none"> • Commencement of PAT cycle -XI • Study and analysis for identification of new sectors for inclusion under PAT • Baseline verification for identification of new DCs from existing sectors and new identified sectors • Capacity building workshops/ webinars • Certification and refresher and skill upgradation courses • Maintenance of PATNet and other infrastructural requirement for Trading of ESCerts • Trading of ESCerts • Monitoring & Verification of PAT cycle - VIII • Calculation of Energy Savings from PAT cycle -VII • Check Verification (PAT cycle -VII and VIII) • Development of impact and outcome study • Upgradation of DKP+, Meetings and Workshops with Stakeholders • Stakeholder Consultations for Voluntary Carbon Market and trading • Meetings and Workshops with Sectoral & cross-sectoral Stakeholders |
| EEFP and FEEED | <ul style="list-style-type: none"> • Identification of 30 EE technologies/ measures with average investment and payback period • 20 capacity building workshops/ meetings • To estimate annual energy efficiency financing by banks/NBFCs • Promotion of EE financing instruments • Development of IT platform for connecting with banks/NBFCs • Establishment of EE financing cell in nationalized banks and Public sector NBFCs | <ul style="list-style-type: none"> • Identification of 30 EE technologies/ measures with average investment and payback period • 20 capacity building workshops/ meetings • To estimate annual energy efficiency financing by banks/NBFCs • Promotion of EE financing instruments • Development of IT platform for connecting with banks/NBFCs • Establishment of EE financing cell in nationalized banks and Public sector NBFCs |

15. Sunset date

The scheme is continuous and on-going in nature. The current proposal is for the period up to March 2026. However, the activities are expected to continue till 2030 and beyond to meet India's target for Paris agreement, subject to approval of Competent Authority.

16. Details of posts created for the scheme (regular/contractual separately) and the number of persons engaged against them with annual financial implications

Under the proposed Energy Conservation Scheme, no budgetary support is sought for any post creation. A separate proposal for creation of posts in BEE would be sent to Department of Expenditure after seeking approval of Governing Council of BEE.

17. Any additional posts proposed to be created with annual financial implication.

Under the proposed Energy Conservation Scheme, no budgetary support is sought for any post creation. A separate proposal for creation of posts in BEE would be sent to Department of Expenditure after seeking approval of Governing Council of BEE.

18. Comments of other stakeholders including Ministries/Departments/ NITI Aayog and response thereon (in a tabular form)

Summary of comments received and response thereon

| S. NO | Department | Comments and response |
|-------|---|----------------------------------|
| 1. | Comments received from IFD, MoP | Attached at Annexure IV |
| 2. | Department of Science and Technology | Attached at Annexure V |
| 3. | NITI Aayog | Attached at Annexure VI |
| 4. | Department of Expenditure (PFC-I Division), Ministry of Finance | Attached at Annexure VII |
| 5. | Department of Economic Affairs, Ministry of Finance | Attached at Annexure VIII |
| 6. | Central Electricity Authority, MoP | Attached at Annexure IX |
| 7. | Ministry of Petroleum and Natural Gas (Bio-Refinery cell) | Attached at Annexure X |

Supplementary information, if any.

19. Approval Sought

Approval of SFC is solicited for the following:-

- i). Continuation of the “**Energy Conservation Scheme which is an ongoing Scheme aligned with the goals of NDCs** beyond 31st March, 2021;
- ii). Central Grant of **INR 167 crores** for implementation of ongoing Scheme till 31st March 2026.



(Vivek Kumar Dewangan)
Additional Secretary, Ministry of Power
Date: 24th Dec, 2021

F.No.3/4/2020-Fin.
Government of India
Ministry of Power

Shram Shakti Bhawan, Rafi Marg,
New Delhi, dated 06th May, 2025


OFFICE MEMORANDUM

Subject: Appraisal/Approval of the Schemes for continuation beyond 31.03.2026-reg.

In continuation of MoP Finance Division's O.M of even no. dated 30.04.2025 (copy enclosed), the undersigned is directed to forward herewith a copy of D/o Expenditure's O.M No.66(59)/PFC-II/2018 dated 05.05.2025 (copy enclosed) regarding the Sample Terms of Reference (ToR) for evaluation of Central Sector Schemes **for information and strict compliance.**

2. The salient points of the D/o Expenditure O.M dated 05.05.2025 are as follows:
- Approval for continuation of scheme must be sought based on the outcome review showing that though scheme has been effective in achieving its objectives, still there is a need to continue the scheme in view of its mandate and performance. Depending upon the outcome review, scheme can continue in its existing form or with necessary modifications.
 - All such proposals for continuation of schemes needed to be preceded by an appropriate evaluation and necessary restructuring carried out in them so as to achieve the desired results.
 - Template for Final Standard Terms of Reference (ToR) for evaluation of Central Sector Schemes has been enclosed. The first part of the template outlines the structure of the report and the second part is the explanatory memorandum.

Encl: As above


(Pankaj Kumar Jha)
Under Secretary to the Govt. of India
Tele: 23356938
e-mail: jha.pk13@nic.in

To

- AS (SN)/ AS(AT)/ AS(PS)
- JS (Distribution)/ JS (Trans)/JS (Hydro)/ CE(HKP)/ CE(DKS)

Copy for information to:
PPS to Secretary (P), PPS to JS&FA (P)

Government of India
Ministry of Power

Shram Shakti Bhawan, Rafi Marg,
New Delhi, dated 09th May, 2025


OFFICE MEMORANDUM

Subject: Appraisal/Approval of the Schemes for continuation beyond 31.03.2026-reg.

In continuation of MoP Finance Division's O.M of even no. dated 06.05.2025 (copy enclosed), the undersigned is directed to forward herewith a copy of D.O. No. 01(01)/PFC-II/2025 dated 07.05.2025 received from Secretary(Expenditure) on the aforementioned subject **for information and strict compliance.**

2. The said D.O. letter highlights that "it is the terminal year of fifteenth Finance Commission(ends on 31st March 2026). **In the second half of this FY, the schemes to be continued over the next FC cycle shall undergo fresh appraisal and approval process. Each such scheme must first undergo an 'outcome review' in the form of a Third-Party Evaluation**".

Encl: As above


09.05.2025
(Pankaj Kumar Jha)
Under Secretary to the Govt. of India
Tele: 23356938
e-mail: jha.pk13@nic.in

To

- i. AS (SN)/ AS(AT)/ AS(PS)
- ii. JS (Distribution)/ JS (Trans)/JS (Hydro)/ CE(HKP)/ CE(DKS)
- iii. All the Directors/ Deputy Secretary , MoP

Copy for information to:
PPS to Secretary (P), PPS to JS&FA (P)

No. 66(59)/PFC-II/2018
Ministry of Finance
Government of India
Department of Expenditure

North Block, New Delhi
Dated the ~~April~~, 2025

05th May

OFFICE MEMORANDUM

Subject: Sample ToR for evaluation of Central Sector Schemes- reg.

Reference is invited to the Budget Speech of the Finance Minister in 2016 wherein he had outlined the policy framework as regards the schemes being implemented by Government of India. Para 110 of the Budget Speech stated that *"To improve the quality of Government expenditure, every new scheme being sanctioned by the Government will have a sunset date and outcome review"*. Pursuant to this announcement, vide O.M. No. 42(02)/PF-II/2014 dated 23.2.2017, DoE had informed Ministries/Departments that after the end of the 12th Five Year Plan, *"for aligning the schemes with financial resource cycle of Central and State Government, schemes will be made co-terminus with the Finance Commission Cycle, the first such being the remaining period of the 14th Finance Commission period"*. It is further stated that approval for continuation of scheme must be sought based on the outcome review showing that though scheme has been effective in achieving its objectives, still there is a need to continue the scheme in view of its mandate and performance. Depending upon the outcome review, scheme can continue in its existing form or with necessary modifications. The Cabinet Secretary vide his D.O. Letter No. 1/50/1/2016-Cab. Dated 19.12.2017 (copy enclosed) had emphasized the need for evaluation of schemes. All such proposals for continuation of schemes needed to be preceded by an appropriate evaluation and necessary restructuring carried out in them so as to achieve the desired results.

2. DME0, NITI Aayog is conducting evaluation of the Centrally Sponsored Schemes. DoE after consulting DME0, NITI Aayog had issued instructions for evaluation of Central Sector Schemes vide its OM of even no. dated 22.5.2019 enclosing sample Terms of Reference. Ministries/Departments were advised to use the Terms of Reference enclosed alongwith ibid O.M. for evaluation of Central Sector Scheme being implemented by the respective Ministries/Departments and, in case of modifications to seek guidance from NITI Aayog.

3. As the terminal year of the current Finance Commission Cycle has started, it is imperative that Ministries/Departments make an assessment of Central Sector Schemes they wish to continue over the next Finance

Commission Cycle. In terms of the Policy mandate of the Government announced in 2016 Budget Speech and followed by the instructions contained in the D.O. Letter of Cabinet Secretary an evaluation of the Central Sector Schemes which are intended to be continued needs to be carried out. Central Sector Schemes for which evaluation is being carried out/has been done by NITI Aayog (list of such schemes is at **Appendix-I**) need not be re-evaluated.

4. In this regard, please find enclosed final Standard Terms of Reference (ToR) Template for evaluation of Central Sector Schemes. The first part of the template outlines the structure of the report and the second part is the explanatory memorandum. With the issue of this template which is generic in nature, individual vetting of ToR for each Central Sector scheme by NITI Aayog will not be required. However, in the opinion of the Ministry/Department, if any particular scheme so demands, the Ministry/Department may like to approach NITI Aayog for specific addendum or revision in this template.

5. This issues with the approval of Secretary (Expenditure).

H Jaiswal
05/05/2025

(Hema Jaiswal)
Dy. Director General (PFC-II)

Financial Advisors
All Ministries/Departments of Government of India

Copy to: Director General, Development Monitoring and Evaluation Office (DMEO), NITI Aayog, New Delhi.

Template for Evaluation of Central Sector Scheme: [Scheme Name]

Name of Department /Name of Ministry

1. EXECUTIVE SUMMARY

2. OVERVIEW OF THE SCHEME

2.1 Background of the Scheme

- a) Brief write up on the scheme including objectives, Implementation Mechanism, scheme architecture/ design
- b) Name of Sub-schemes/ components
- c) Year of commencement of scheme
- d) Present status with coverage of scheme (operational/ non-operational)
- e) Sustainable Development Goals (SDG) Served
- f) Alignment with Viksit Bharat 2047 Vision
- g) Fund Flow mechanism (National and sub-national level)

2.2 Budgetary allocation and expenditure pattern of the scheme

| Sub-scheme/ Component | [Year 1] | | | [Year 2] | | | [Year 3] | | | [Year 4] | | | [Year 5] | | |
|--------------------------|----------|----|--------|----------|----|--------|----------|----|--------|----------|----|--------|----------|----|--------|
| | BE | RE | Actual | BE | RE | Actual | BE | RE | Actual | BE | RE | Actual | BE | RE | Actual |

2.3 Summary of past evaluation since inception of scheme

| Year of Evaluation | Agency hired for Evaluation | Recommendations made and accepted | Recommendations made but not accepted |
|--------------------|-----------------------------|-----------------------------------|---------------------------------------|
|--------------------|-----------------------------|-----------------------------------|---------------------------------------|

3. METHODOLOGY

3.1 Sample size and sample collection process- The approach should be to derive a sample size based on some key output/outcome parameter of the scheme. The States/Districts/Villages & UCBs could be graded in terms of performance of the states in these indicators and accordingly representation from each such Strata be finalized systematically. While doing so, regional representation in terms of Zones as per NSSO (consisting of States/UTs) and aspirational districts/blocks may also be kept in mind.

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3.2 Baseline data on Key Performance Index (KPIs): Baseline data on select KPIs (15 to 25 central to measure the effectiveness of the scheme in terms of its meeting the scheme objective to be collected: -

3.2 (a) For New Scheme: Baseline data to be collected through a baseline survey from the field. This could be done anytime during the commencement of the scheme to six months of it being in operation. This data and accompanying report are to be kept safely by the M/Ds. This would be followed by a mid-line survey, ideally after 2-3 years of its operation.

3.2 (b) For Existing Scheme: Synthetic baseline data may be created using secondary and administrative data to which these KPIs are to be compared. In any case, the current evaluation data has to be stored properly to be used in the future as an anchor dataset to carry out proper analysis of the ongoing schemes.

3.3 Evaluation Tools used: Various evaluation tools can be used in the primary survey such as Household questionnaires, Key Informant Interviews, Focused Group Discussions, etc. This would depend on the focus and orientation of the scheme.

3.4 Data collection tools: Computer Assisted Personal Interview (CAPI) tools to be adopted.

4. OBJECTIVE OF THE STUDY

4.1 Effectiveness of the scheme in terms of achieving its intended objectives as per the scheme guidelines (To be analysed on the Output/Outcome/Impact indicators)

4.2 Additional parameters

- a) Awareness and Coverage of Scheme-uptake by beneficiaries

| State | | | | District | | | |
|-------|--------|-------|--------|----------|--------|-------|--------|
| Urban | | Rural | | Urban | | Rural | |
| Male | Female | Male | Female | Male | Female | Male | Female |
| SC/ST | SC/ST | SC/ST | SC/ST | SC/ST | SC/ST | SC/ST | SC/ST |

- b) Assessment of implementation process and fund flow mechanism
- c) Training/ Capacity building of administrators/ facilitators, IEC activities etc.
- d) Asset/ Service creation, if any, assess adequacy and quality and & maintenance plan/recurring expenditure associated with it

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- e) Benefits (Individual, community)
- f) Convergence with scheme of own Ministry/ Department or of other Ministry/ Department and with the scheme of States/UTs.

4.3 Gaps in achievement of outcomes

4.4 Key Bottlenecks & Challenges

4.5 Input Use Efficiency

4.6 Best Practices/Case Studies

4.7 Most Significant Change (due to the scheme/intervention)

5. OBSERVATIONS AND RECOMMENDATIONS

5.1 Thematic Assessment

- i. Improving value for money through identification of avoidable duplication and overlaps between different schemes
- ii. Assessing the continued relevance and their effectiveness and efficiency in achieving the intended objectives.
- iii. Reduction in avoidable overhead expenditure on consultants, programme management, administration etc.

5.2 Externalities

6. CONCLUSION

6.1 Issues & challenges (data must attempt to gather information on, but not limited to, the following)

Has the intervention caused a significant change in the lives of the intended beneficiaries?

How did the intervention cause higher-level effects (such as changes in norms or systems)?

Did all the intended target groups, including the most disadvantaged and vulnerable, benefit equally from the intervention?

Is the intervention transformative – does it create enduring changes in norms – including gender norms – and systems, whether intended or not?

Is the intervention leading to other changes, including “scalable” or “replicable” results?

How will the intervention contribute to changing society for the better?

6.2 Vision for the future

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EXPLNATORY MEMORANDUM

2.1 (a) Latest guidelines of the scheme may also be annexed.

2.1 (b) Sub-schemes/components which have separate budgetary allocations either through budget line or through Detailed Demand for Grants (DDG) may also be listed along with component-wise budget allocation.

2.1 (d) Details of number of states/districts/villages where the scheme is functional may be included.

2.1 (e) & (f) May be linked with objective of the scheme.

2.2 If DDG makes allocations for certain items which are not shown as sub-schemes/ components, the same may be separately indicated along with allocation in the table.

3.1 Complete list of states as classified by NSSO may be seen on its website.

4.1 Output/ Outcome Indicators as per the objectives of the scheme be specified for proper assessment of the scheme. Indicators as spelt out in SFC/EFC memorandum during appraisal of the scheme may also be utilized.

Output/ Outcome/Impact Indicators (numbers or percentage) must be compared with base year value at all time points (periodicity) as per monitoring mechanism framework, also defined in SFC/EFC Memorandums

4.2 (a) Tabulated information up to Tehsil/ Block Level and if possible, up to village level may be provided.

4.2 (b) focus should be on clarity of instructions, availability of scheme or programme guidelines, clear definition of roles and responsibilities of functionaries and the number and nature of clarifications/ additional instructions issued w.r.t. scheme guidelines. Details about training (PFMS/EAT module, scheme's portal or any other) with number of interventions and levels at which these interventions were carried out may be included.

4.3 (c) Details about Stakeholders/ Beneficiaries, details of campaigns, media, frequency, feedback etc. may be included.

4.2 (f) In primary survey, a facility checklist may be included to ascertain the quality and usability of such assets created under the scheme. Details about nature and type of convergence with national and state level schemes may be detailed out.

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Details about apparatus- manpower office transport etc. may be included. If there is no convergence, NIL may be recorded.

4.3 These gaps could be attributed to absence of interventions/ non-performance of existing interventions.

4.4 Focus may be of Financial, Administrative, Project Management and any other Key Bottlenecks & Challenges.

4.5 Details of (a) requirement of funds as indicated in EFC/ SFC in relation to actual allocation of funds including timelines of release (b) requirement and allotment of manpower in implementation of scheme/Programme at various levels (PMU/Central/State) (c) Involvement of private players, volunteers, non-governmental organizations and local community etc. in the scheme may be provided.

4.6 Description of the Best Practices and Case Studies- Since evaluation is to record both what is working and what is not, therefore, the best practices should be recorded in detail, facilitating replication.

4.7 Most Significant Change: This information is to be gathered from primary survey w.r.t what one thing that the scheme has been able to achieve in the most significant way.

5.1 Thematic assessment should focus on Accountability, Transparency, Employment generation (direct/indirect), Climate change and sustainability, Role of TSP/SCSP, Use of IT, Behavioral change in stakeholders/beneficiary, R&D, Role, functions, involvement/ support of State govts.

Evaluation of public interventions and policies needs to recognize the scarcity of resources, fiscal affordability **and the 'zero sum game' that plays out in resource allocation.** In a developing country like ours which faces multiple social, economic and environmental challenges, availability of public resources amongst competing demands will always be limited. Priority setting and resource allocation are vital questions to be addressed, and evaluation needs to assist in this. While interventions may be chosen to maximize specific objectives, they all are constrained with respect to practical and budgetary issues. Hence, evaluation recommendations should not routinely assume enhanced funding. If felt essential, alternative non-base case recommendations may be made separately.

Cross cutting themes can be assessed both through secondary data as well as primary. While conducting meta-analysis of existing reports, the evaluator

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should actively review the cross-cutting themes. The primary data for cross cutting themes will be elicited through specific questions and responses during the key informant interviews and beneficiary surveys. For example, use of IT in scheme implementation, fund flow, monitoring and evaluation can be assessed from interaction with concerned ministries/ departments as well as states officials. Similarly, gender mainstreaming can be assessed by introducing specific questions on changes in knowledge, attitude and practices pertaining to gender equality, attributable to the CS intervention at hand, through household surveys.

5.2 Details best practices, innovations or scheme/ projects where best practices were replicated may be provided.

6.3 It is essential to highlight the importance of recommendations for the scheme. The evaluation agency may provide recommendations for the scheme in any of the following categories (a) Continue in existing form (b) Continue with some Modifications (suggest modifications) (c) scale up the scheme (Financial/Physical/ both) (d) Scale down the scheme (Financial/Physical/ both) (e) Close (f) Merge with another scheme as sub-scheme/ component. [*for further details see comments for para 5.1*]

Signature

EVALUATION OF SCHEMES – CONCEPTUAL NOTE

Evaluation contributes fundamentally to sound public governance. It can help governments improve the design and implementation of public policies that, in turn, can lead to prosperity for their country and well-being for citizens. Evaluation contributes to promoting public accountability, learning and increased public sector effectiveness through improved decision-making. Evaluation is critical to ensure that policies are actually improving outcomes by bringing an understanding of what works, why, for whom, and under what circumstances.

2. Budget Speech of 2016 spelt out the vision of the Government with regard to the appraisal and approval cycle that CSSs and CSs would need to follow after the end of the planning cycle, of which 12th Five Year Plan was the last. Government mandated that *'every new scheme being sanctioned by Government will have a sunset date and outcome review'*.¹ For the XVth FC cycle NITI Aayog had undertaken evaluation of 28 umbrella schemes. Evaluation of other CSs/CSSs schemes was undertaken by the respective Ministries/Departments. For the current FC cycle too, NITI Aayog is conducting evaluation of CSSs.

Evaluation Criteria

3. Broadly, evaluation of schemes can be categorised into six – relevance, coherence, effectiveness, efficiency, impact and sustainability.² It is important that the definitions of the criteria are understood within the broader context to make evaluation useful and of high quality. There are two basic guiding principles which must be applied to any evaluation-

- a. that it should be contextualized (what is that the evaluation is trying to find out and what is the intended purpose of evaluation?)
- b. time and resources may be deployed based on the purpose of evaluation which may take into account data availability, timing and methodological considerations.

Relevance - Relevance is a pertinent consideration across the programme or policy cycle from design to implementation. It can be analysed via four potential elements for analysis: relevance to beneficiary and stakeholder needs, relevance to context, relevance of quality and design, and relevance over time. They should be included as required for the purpose of the evaluation and are not exhaustive.

¹ Budget Speech 2016 (Para 110)

² <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

The evaluation of relevance should start by determining whether the objectives of the intervention are adequately defined, realistic and feasible, and whether the results are verifiable and aligned with current international standards for development interventions.

Coherence – Coherence brings in increased focus on the synergies (or trade-offs) between policy areas and the growing attention to cross-government co-ordination. It identifies situations where duplication of efforts or inconsistencies in approaches to implementing policies across government or different institutions can undermine overall progress. This criterion also encourages evaluators to understand the role of an intervention within a particular system (organisation, sector, thematic area, country), as opposed to taking an exclusively intervention- or institution-centric perspective.

Effectiveness - Effectiveness helps in understanding the extent to which an intervention is achieving or has achieved its objectives. It can provide insight into whether an intervention has attained its planned results (OOMF), the process by which this was done, which factors were decisive in this process and whether there were any unintended effects.

Efficiency - This criterion is an opportunity to check whether an intervention's resources can be justified by its results, which is of major practical and political importance. Efficiency is about choices between feasible alternatives that can deliver similar results within the given resources. Before cost-effectiveness comparisons can be made, alternatives must be identified that are genuinely feasible and comparable in terms of quality and results.

Impact - Under this criteria ToRs must be designed so as to allow for such information to be captured as to whether or not the intervention created change that really matters to people. It is an opportunity to take a broader perspective and a holistic view.

Questions that the impact criterion might cover include:

- Has the intervention caused a significant change in the lives of the intended beneficiaries?
- How did the intervention cause higher-level effects (such as changes in norms or systems)?
- Did all the intended target groups, including the most disadvantaged and vulnerable, benefit equally from the intervention?
- Is the intervention transformative – does it create enduring changes in norms – including gender norms – and systems, whether intended or not?

- Is the intervention leading to other changes, including “scalable” or “replicable” results?
- How will the intervention contribute to changing society for the better?

Sustainability - The role of evaluation here can be to scrutinise assumptions in the theory of change for how sustainability is achieved. One important question which needs to be asked is whether the impact will be sustainable once fiscal support from the government is removed.

Evaluation of Schemes – DoE’s specific requirements

4. Evaluation of public interventions and policies needs to recognize the scarcity of resources and fiscal affordability. An evaluation which concludes that more financial support for a scheme would make it effective in achieving its outputs and outcomes, misses the core point of limitation of resources and the ‘zero sum game’ that plays out in resource allocation. In a developing country like ours which faces multiple social, economic and environmental challenges, availability of public resources amongst competing demands will always be limited. Priority setting and resource allocation are vital questions to be addressed, and evaluation needs to assist in this. While interventions may be chosen to maximize specific objectives, they all are constrained with respect to practical and budgetary issues. Hence, evaluation recommendations should, at least as a base case, assume constant real level of budget and should not assume enhanced funding. If felt essential, alternative non-base case recommendations may be made separately.

5. The evaluation exercise should, *inter alia*, aim at reducing/ rationalising excessive number of Centrally Sponsored Schemes and other schemes (also recommended by Expenditure Management Commission and Finance Commission), avoiding waste arising from duplication and ‘opening of shops’ by each Ministry, reduction in wasteful expenses (including excessive use of consultants, administrative overheads etc.). Managing of funds that flow from the Centre to the States for implementation of CSSs and implementing agencies under CSs also needs to be factored to avoid parking of funds by agencies/ states. While the template ToR attempts to capture the essence of all the above listed concepts, DoE recommends that ToRs for evaluation of schemes may be modified to adequately reflect these issues enabling the evaluation process to capture such data/information.

6. Hence, apart from fiscal affordability, evaluation of schemes should focus on:

- i. Improving value for money through identification of avoidable duplication and overlaps between different schemes
 - ii. Assessing the continued relevance and their effectiveness and efficiency in achieving the intended objectives
 - iii. Reduction in the number of schemes, especially schemes of small size, through closure/ merger of irrelevant/ low value-adding schemes
 - iv. Reduction in avoidable overhead expenditure on consultants, programme management, administration etc.
7. Based on the data/information captured during the evaluation process the following must be identified and appropriate action taken:
- Schemes with similar objectives/overlaps (intra/inter Ministry/Department) must be considered for merger/closure
 - Schemes having backward and forward linkages (schemes, which are presently being implemented independently, but will be more effective if they are combined/merged) must be considered for merger.
 - Schemes which have lost relevance over the period of its implementation (this may include a component of the scheme as well) must be considered for closure.
 - Schemes with minimal prima facie impact on account of inadequate budget must be considered for closure.
 - Schemes with low budgetary utilization must be considered for closure.

प्रदीप कुमार सिन्हा
PRADEEP K. SINHA



मंत्रिमंडल सचिव
भारत सरकार
CABINET SECRETARY
GOVERNMENT OF INDIA

D.O No. 1/50/1/2016-Cab

19th December, 2017

Dear Secretary,

This is regarding proposals submitted by various Ministries/ Departments relating to continuation of Centrally Sponsored Schemes beyond the 12th Plan Period and till the term of the 14th Finance Commission (i.e. from 2017-18 to 2019-20). The following points have emerged during their consideration:

- (i) Continuation of Schemes/ Programmes should not be undertaken as a routine exercise and any extension beyond 2016-17 should be proposed only after appropriate evaluation.
- (ii) A restructuring of the Scheme/ Programme needs to be considered on the basis of evaluation report and giving it a new nomenclature accordingly may also be explored.
- (iii) In Schemes/ Programmes where unspent balances at the State level or at the implementing agency level have come to notice, the extension of the term and the justification for enhancement of annual allocation would need to be properly scrutinized.

2. It has also been observed that many Ministries/ Departments have already released budgetary funds during the year 2017-18 without following the prescribed procedure and obtaining authorization of expenditure beyond the 12th Plan period. This may not only create an anomalous situation but may also present a *fait accompli* for extension of such Schemes/ Programmes upto the year 2019-20.

3. In this context, I would like to re-emphasize that proposals of this nature should be preceded by an appropriate evaluation of the Scheme/ Programme and necessary restructuring carried out in them so as to achieve the desired results. It may be noted that non-compliance with the above would delay the processing of such proposals for approval by Cabinet/ CCEA.

4. You are, therefore, requested to ensure necessary compliance in this regard.

With regards,

Yours sincerely,

(P. K. Sinha)

Shri Ajay Narayan Jha
Secretary,
Department of Expenditure
New Delhi

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Appendix-I**List of CS being evaluated by NITI Aayog**

| S.No. | Name of the Ministry/Department | Name of the Scheme |
|--------------|---|---|
| 1. | M/o Parliamentary Affairs | National e-Vidhan (NeVA) |
| 2. | M/o Health and Family Welfare | Ayushman Bharat - HWC (AAM) |
| 3. | M/o Agriculture and Farmers Welfare | PM Kisan |
| 4. | D/o Financial Services | PM Stand up India |
| 5. | D/o Financial Services | PM Jan Dhan Yojana |
| 6. | D/o Financial Services | PM Jeevan Jyoti Yojana (PMJJY) |
| 7. | D/o Financial Services | PM Suraksha Bima Yojana (PMSBY) |
| 8. | Department for Promotion of Industry and Internal Trade (DPIIT) | Refund of CGST and IGST to Industrial Units in NE region and Himalayan States |
| 9. | M/o Petroleum and Natural Gas (MoPNG) | PM Ujjwala Yojana |