

मध्य प्रदेश शासन  
वित्त विभाग  
मंत्रालय  
वल्लभ भवन, भोपाल-462004

क्रमांक 166/आर-235/14/बी-9/चार  
प्रति,

भोपाल, दिनांक : 04/03/2014

शासन के समस्त विभाग  
समस्त विभागाध्यक्ष  
समस्त संभागीय आयुक्त  
समस्त जिलाध्यक्ष  
मध्यप्रदेश शासन

विषय:- स्विस् चैलेंज प्रक्रिया मार्गदर्शी निर्देश।

राज्य में सामाजिक व भौतिक अधोसंरचना उपलब्ध कराने हेतु निजी एवं सार्वजनिक क्षेत्रों की भागीदारी से मौलिक एवं आधुनिकतम तकनीक वाली परियोजनाओं को प्रतिस्पर्धात्मक एवं पारदर्शी प्रक्रिया द्वारा बढ़ावा देने के उद्देश्य से स्विस् चैलेंज प्रक्रिया के मार्गदर्शी निर्देश "मध्यप्रदेश इन्फ्रास्ट्रक्चर डेव्लपमेंट (स्विस् चैलेंज) गाईड लाईन-2014" संलग्न है।

कृपया निर्धारित मार्गदर्शी निर्देशों के अनुसार कार्यवाही हेतु अनुरोध है।

संलग्न :- प्रति।

मध्य प्रदेश के राज्यपाल के नाम से  
तथा आदेशानुसार



(मनीष रस्तोगी)  
सचिव  
मध्य प्रदेश शासन  
वित्त विभाग

पृ.क्रमांक 167/आर-235/14/बी-9/चार  
प्रतिलिपि:-

भोपाल, दिनांक : 05.03.2014

1. राज्यपाल मध्य प्रदेश के सचिव, राजभवन भोपाल।
2. प्रमुख सचिव, मध्य प्रदेश विधान सभा, भोपाल।
3. निबंधक, उच्च न्यायालय मध्य प्रदेश, जबलपुर।
4. प्रमुख सचिव, मुख्यमंत्री, मुख्यमंत्री सचिवालय, भोपाल।
5. मुख्य सचिव के स्टाफ आफीसर मंत्रालय, भोपाल।
6. सचिव, लोक आयुक्त, मध्य प्रदेश, भोपाल।
7. निज सचिव/निज सहायक मंत्री/राज्यमंत्री/मध्य प्रदेश शासन, भोपाल।
8. मुख्य निर्वाचन पदाधिकारी, मध्य प्रदेश भोपाल।
9. सचिव, राज्य निर्वाचन आयोग, मध्य प्रदेश, भोपाल।
10. रजिस्ट्रार, म.प्र.राज्य प्रशासनिक न्यायाधिकरण भोपाल/जबलपुर/इंदौर/ग्वालियर।
11. महाधिवक्ता, उप महाधिवक्ता, मध्य प्रदेश भोपाल/इंदौर/ग्वालियर।
12. महालेखाकार (लेखा और हकदारी)/(आडिट)-1/2 मध्य प्रदेश ग्वालियर/भोपाल।
13. आयुक्त, जनसंपर्क संचालनालय, मध्य प्रदेश, भोपाल।
14. गार्ड फाईल।  
की ओर सूचनार्थ प्रेषित।

संलग्न :- प्रति।

(अजय चौबे)

उप सचिव

मध्य प्रदेश शासन

वित्त विभाग



## **Madhya Pradesh Infrastructure Development (Swiss Challenge) Guidelines - 2014**

Government of Madhya Pradesh

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## VISION

**To encourage the private and public sector participants to envisage an innovative project by maximizing competition & transparency**

### 1.0 Preface

There is a need to provide rapid development of infrastructure and social sector projects in the state and attract private and public sector participation in the planning, designing, financing, construction, operation and maintenance of projects.

Over the years, GoMP has introduced and implemented various infrastructure projects under innovative Public Private Partnership (PPP) models. The models such as Build Operate Transfer (BOT), Build Own Operate Transfer (BOOT), Build Operate Lease Transfer (BOLT), Operate Maintain Transfer (OMT), Viability Gap Funding (VGF), Design Build Operate (DBO), Built Own Operate (BOO) etc. have not only encouraged the private players to forge a partnership with government and build quality infrastructure, but also increased the economic activities in the state.

However, the projects under which these PPP models are planned and executed are conceived by the government. There could be many innovative projects and proposals in various sectors which are not conceived by the government. For such cases, the government intends to provide opportunity to the private and public sector participants to envisage an innovative project and submit the project report for consideration. These innovative projects could be done under Swiss Challenge Method (SCM).

With a view to present the bankable projects to private & public sector and for improving level of infrastructure in the state and for matters connected therein or incidental thereto, the Government of Madhya Pradesh ("GoMP") has proposed the following approach towards private and public sector participation.

### 1.1 About SCM

Project proponent shall submit an innovative proposal with project report which may not be necessarily initiated by the government. At the onset, the authority shall evaluate the need for the proposal and shall submit to the SLEC for its approval. After the approval from the SLEC, the project proponent shall submit the detailed proposal. The report shall contain the technical aspects like specifications, BOQ, cost estimates, drawings etc. and detailed financial aspects like toll, revenue costs, IRR, NPV etc. The authority then invites the interested bidders through competitive bidding for counter proposals as per the specified guidelines.

The proposal of the project proponent would be made available to the interested bidders. However, the proprietary information contained in the original proposal shall remain confidential and will not be disclosed.

If the competing bidder provides the best financial offer, the project proponent shall be given an opportunity to match the competing counter proposal within a stipulated time-frame and then the contract shall be awarded to the project proponent.

In case the project proponent is not able to match the competing counter proposal, the project shall be awarded to the bidder who had submitted the best financial offer. The cost incurred by the project proponent for preparation of the DPR shall be reimbursed by the authority. The reimbursement amount shall be determined upfront and declared in the bidding documents, and this shall be recovered from the successful bidder.

## **1.2 Objectives of the SCM**

- Initiation in spotting an unidentified need and provide solution for the same.
- To bring in technology, finance & expertise in execution among others.
- To encourage induction of new technology and promotion of unique solutions.
- To provide financially sustainable solutions.
- To augment public private partnerships in sectors/projects which are not covered under the current PPP framework.

## **1.3 Swiss challenge – the growth story**

The Swiss challenge is a method followed to provide transparency and induction of capital for infrastructure and social sectors where innovative proposals are received. This methodology also leads to innovation in project ideas and designs. The Swiss challenge system is being widely applied across various Indian states including Andhra Pradesh, Kerala, Karnataka, Rajasthan, Gujarat and Punjab in different sectors such as Health, Information technology, and waste water treatment system, Ports, Transportation and Industries etc.

The model has been successfully tried in countries such as Indonesia, Philippines and Taiwan mainly in the transportation (MRTS, roads etc.) and industrial sector.

## **1.4 The Swiss advantage**

The following are the benefits of using the SCM:

- Certainty of success under this methodology is ensured as at least one willing private partner is available right from the beginning.
- The project proponent does a detailed feasibility & financial analysis of a project resulting in better project structuring. The initial structuring by the project proponent brings in efficiency and better understanding of financial implication resulting in development of economically sustainable model.
- The identification of timelines, identification of risks and their allocation along with transparent bidding criteria becomes easier for the authority as the project preparation is done in more professional manner.
- Time and cost saving on pre project activities and feasibility studies where as in other methodology of PPP models, these studies have to be conducted in advance by the authority.
- Benchmarking of project costs, revenues and returns through undertaking necessary technical and financial studies before the bidding stage.

## 2.0 Definitions

S.No.	Name	Role/Function
1	State Level Empowered Committee (SLEC)	It is a state level empowered committee constituted under the chairmanship of the Chief Secretary for approval of the project.
2	Authority	State Govt. department /a board /a local body/ a state Govt. controlled body concerned with the project.
3	Innovative Proposal	Means a project submitted by a project proponent that has innovative technology or process that could result in incremental or emergent changes in products, services and processes
4	Project proponent	Means a Legal entity or a Person who submits an innovative proposal for development of a public sector project
5	Interested bidder	Respondents to the bids other than project proponent.
6	Transaction advisor (TA)	The advisor for the project, offering technical, financial and legal advice and assisting the authority in finalization of the successful bidder. The TA shall be appointed for all PPP projects.
7	Consultant	The advisor for the project, offering technical, financial and legal advice and assisting the authority in finalization of the successful bidder. The consultant shall be appointed for all non PPP projects.

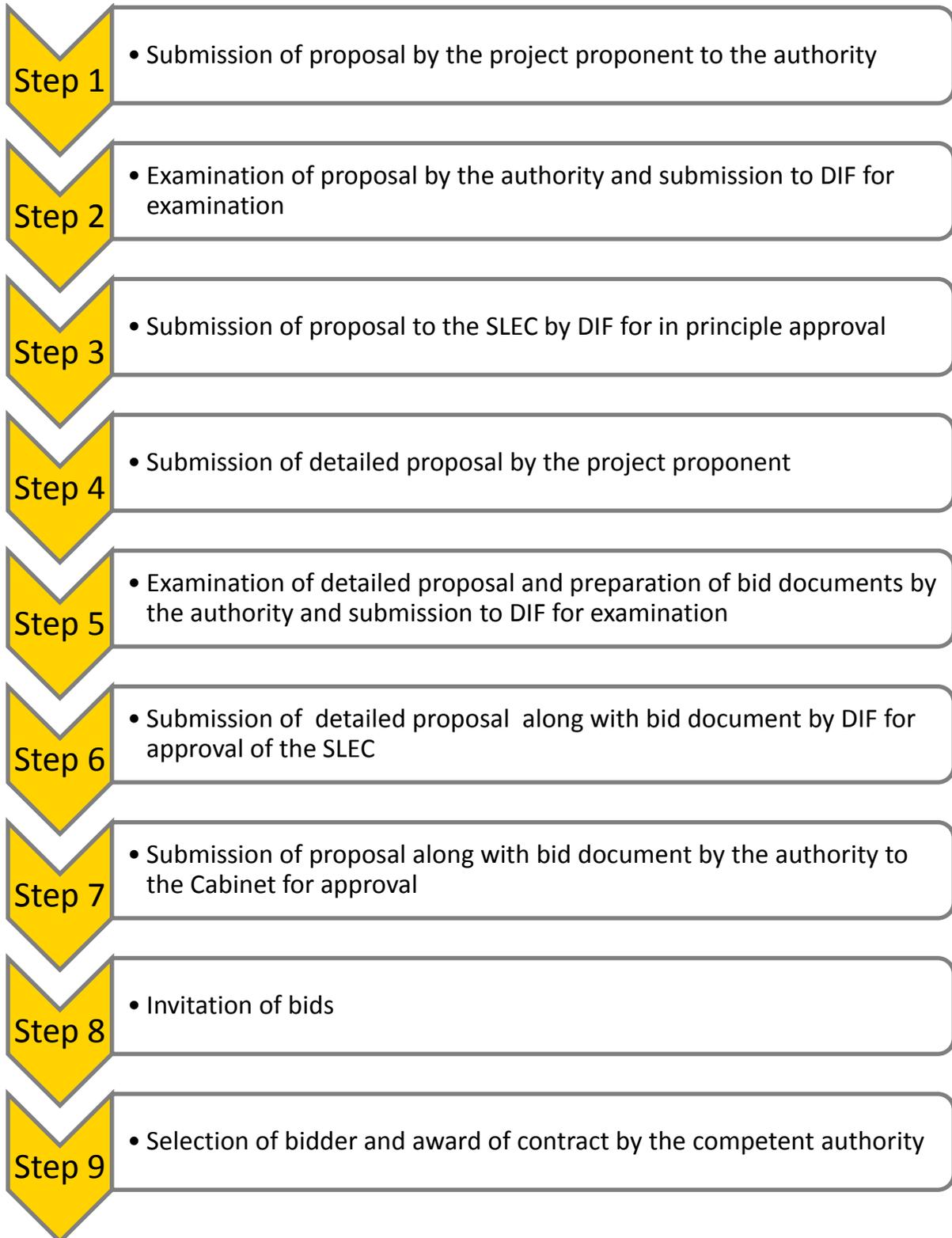
## 3.0 Eligible sectors

SCM can be adapted to any sectors approved by SLEC such as:

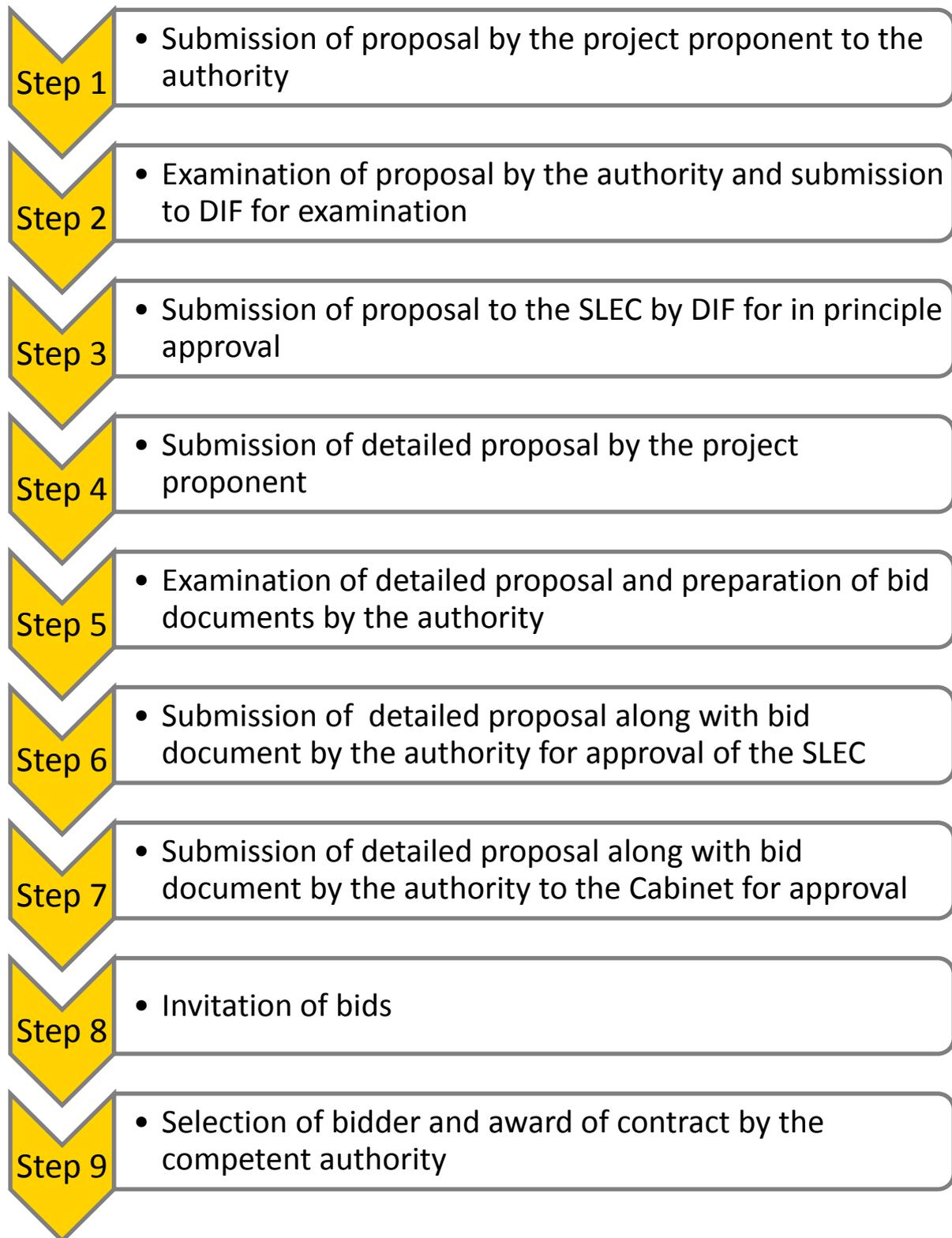
- ▶ Agriculture, Horticulture, allied sector & post-harvest management
- ▶ Education including Technical Education (Skill development etc.)
- ▶ Gas distribution network
- ▶ Health
- ▶ Highways & Bridges
- ▶ Housing & Environment
- ▶ Information Technology
- ▶ Inland water transport & Water Body Eco-system Management
- ▶ Industrial infrastructure
- ▶ Irrigation
- ▶ Land Reclamation
- ▶ Logistics
- ▶ New & Renewable Energy (solar, wind, hydel etc.)
- ▶ Power sector
- ▶ Public Transport
- ▶ Public Buildings, Markets, gardens, parks and parking facility
- ▶ Sanitation, Sewerage, Drainage etc.
- ▶ Sports and Recreation infrastructure
- ▶ Trade Fair, Convention, Exhibition and Cultural Centers
- ▶ Tourism
- ▶ Urban Development
- ▶ Waste Management
- ▶ Water Supply Project
- ▶ Up-gradation and restructuring of any of the projects in above sectors
- ▶ Any other projects which is a combination of above mentioned sectors
- ▶ Any other projects or sectors as approved by the SLEC

## 4.0 Comprehensive procedure to be followed:

### 4.1 Comprehensive procedure to be followed for PPP projects



## 4.2 Comprehensive procedure to be followed for non PPP projects



### 4.3 Submission of a proposal

A proposal shall be submitted to the authority to take up a project in one or more of the eligible sectors

- ▶ The State/Authority shall publish in advance the nature of Swiss Challenge Method and Particulars. It shall also publish various fields of the projects that can come under such method. The authority to be approached with respect to the project plans shall be clearly notified.
- ▶ The project proponent shall submit an application to the authority in the format's as prescribed in annexure A & annexure-II which is duly signed by an authorized representative along with a prefeasibility report which shall contain all the details which are mentioned in the annexure-III.
- ▶ The project proponent shall also submit the required documents as mentioned in annexure IX for qualification of the proponent.
- ▶ The process for the project shall be initiated by the authority only if the following conditions are fulfilled:
  - If there is no current project and development plan in process for the similar project.
  - If there is certain need for the project.
  - If the project proponent fulfils the qualification criteria.
- ▶ The project initiation shall not be done if:
  - The need can be established with known and reasonable limits and the proposal could be done by traditional bid process management.
  - Financial Assistance from government by way of Viability Gap Funding (VGF) is more than 20% for project excluding the cost of land.
  - There is conflict with the enforced laws.

### 4.4 Permission to proceed by the SLEC

The authority shall prepare a précis for seeking the permission to proceed in the format prescribed in annexure IV and submit the proposal to DIF for examination. DIF shall then submit the proposal to the SLEC for preliminary approval.

## **4.5 Preparation of detailed proposal**

Once the SLEC accords its permission to proceed, a letter shall be issued by authority to the project proponent for undertaking detailed studies (including Detailed Project Report) within the agreed time frame.

Should the project proponent fail to submit the report before the deadline, the authority has right to extend the deadline under the exceptional circumstances or would exercise the right to develop the project on its own by engaging a third party or by its own agency. In that case, the project proponent shall not have any right on the proposal.

Project proponent shall submit a detailed proposal (As per annexure VI) to the authority along with the following documents:

- Detailed Project Report (As per annexure V)
- Bid security
- DPR preparation cost
- Bid value

The bid should be submitted with an interest free bid Security equivalent to 1% of the estimated total project cost through a demand draft or bank guarantee from a nationalized bank, acceptable to the authority, with a validity period of not less than 180 days to be extended by the authority from time to time.

The bid value shall be submitted by the project proponent along with DPR. The authority shall evaluate the bid value and any change in the bid value shall be intimated to the project proponent. The bidding process shall be initiated only after the consent of project proponent on the final bid value. The project proponent shall submit the bid value in the format prescribed by the authority as mentioned in the bid document.

No changes shall be permitted in the DPR once the project proponent has submitted the DPR to the department. The authority may seek clarifications from the proponent and these clarifications shall be attached as an addendum to the DPR.

### **4.5.1 DPR preparation cost & payment**

The direct cost of preparing the DPR shall be mentioned by the Project proponent. The DPR preparation cost shall include external payout, internal cost, out-of-pocket expenses and taxes all accompanied by original receipts which shall not

exceed the limit as determined in the RfQ. The limits shall be fixed by the authority in consultation with the finance department and approved by the SLEC.

The cost related to preparation of the DPR shall be reimbursed to the project proponent by the authority, only in case the authority decides not to proceed with the project after floating the tender.

#### **4.6 Approval of detailed proposal from the SLEC and Cabinet**

The authority & DIF shall decide the composition of technical evaluation committee based on the project basis. The authority shall prepare the information in the format as prescribed in annexure's VII & VIII. In case of PPP projects, the authority shall submit the proposal to the DIF for examination and the DIF shall submit the proposal to the SLEC. However, in case of non PPP projects, the proposal shall be submitted by the authority directly to the SLEC. Once the approval is obtained from the SLEC, proposal shall be submitted to the Cabinet for final approval by the authority.

#### **4.7 Tendering process**

The tender shall be released by the authority, and bidders shall be requested to quote counter proposals. The bidders shall furnish all the documents that are required and as quoted in the bid document.

The counter proposals received shall be evaluated by the authority and ranked along with the project proponent's proposal.

If the competitive bidding process results in a best financial offer from the interested bidder, then the project proponent shall be given an opportunity to match the counter proposal within the specified time frame and the contract shall be awarded to the project proponent.

If the project proponent declines to match the counter proposal, then the contract shall be awarded to the bidder who had submitted the best financial offer.

Upon such selection of successful bidder` other than the project proponent, the authority shall reimburse the cost of preparation of DPR to the project proponent as determined in the bid document which shall be recovered from the successful bidder.

In case the authority does not receive any bid against the floated tender, then the contract may be awarded to the project proponent.

## 5.0 Appointment of a consultant/TA

The consultant/TA shall be appointed by the authority from the empaneled list of DIF for examining the detailed proposal received from the project proponent and also for managing the bid process. The authority shall be responsible for payment to the consultant/TA. The consultant/TA shall be appointed during the DPR stage. The consultant may be appointed for the non PPP projects, if required by the authority.

The following shall be part of the scope of work:

- ▶ The DPR shall be examined with respect to technology, technical specifications, cost estimates, drawings, Internal Rate of Return (IRR), Net Present Value (NPV), Equity debt ratio, Value for Money analysis etc.
- ▶ The consultant/TA upon the request of the authority may carry out additional studies for independently determining the project cost, project revenues, viability and risk analysis etc. including Value for Money analysis to ensure proper benchmarking.
- ▶ After the examination of detailed proposal, the DPR (except for proprietary technology details) shall be shared with all the prospective bidders. Efforts shall be made by the consultant/TA to provide all the necessary information to the interested bidders.
- ▶ **Environment and Social Safeguards:** The consultant/TA as part of this assignment is required to specify broad parameters that need to be adhered by the concessionaire during implementation period in the bid document.
- ▶ **Assistance for SLEC and other related approvals:** If so desired/required, the consultant/TA will assist the authority in all meetings with GoMP to finalise formats for SLEC and other related approvals.
- ▶ **Bid Process Design and Bid Documents:** The consultant/TA shall develop documents for Request for Qualification (RfQ)/Request for Proposals (RFP) and submit to the authority for approval. The RfQs shall be provided considering the criteria mentioned to the project proponent for the qualification. The bidding criteria shall be designed in such a way that maximum competition shall be ensured.  
The RfP and the concession agreement that are required shall be developed and presented to the concerned authorities for approval. This document shall be discussed with the authority and post approvals launched into the market.

- ▶ **Bid process management:** The consultant/TA will assist with the Bid process management, including Request for Proposal (RfP) launch, formulation of responses to bidder queries, bid evaluation and recommendations as per the criteria mentioned in the RfP document, recommending a bidder, contract negotiations and bid closure which are required to be undertaken, for bringing the Project to a Technical close.
- ▶ All other activities as agreed with the authority.
- ▶ The consultant/TA shall submit all the documents for approval to the authority. No document shall be provided to the bidder or any other person without consent from the authority.

## 6.0 Determination of bidding parameter

The bid parameter shall be proposed by the authority depending on the type of project and its requirement. The project proponent shall submit the detailed proposal along with the agreed bid parameter. The final decision on the bid parameter shall be taken by the Cabinet on recommendation of the SLEC.

## 7.0 Time frame for the total process

S.No	Activity	Number of Months required
1	Examination of preliminary report	1
2	Permission to proceed by SLEC	1
3	Detailed proposal submission	3
4	Examination of detailed proposal and preparation of bid documents	2
5	Approval from SLEC & final Cabinet approval	1
6	Open tender and submission of bids	1
7	Bid evaluation	1
8	Additional time for project proponent to match the counter proposal, if any	1
9	LOI & Signing of agreement	1
<b>10</b>	<b>Total process time</b>	<b>12</b>

## 8.0 Other rules & regulations

- ▶ The authority has the right to call off the project anytime during the process without assigning any reason.
- ▶ All rights are reserved with the authority.
- ▶ These timelines are only indicative and the SLEC reserves the right to modify the timelines based on the project and its requirements.
- ▶ All the changes in the formats and other guidelines shall be notified on the website.
- ▶ The rules are to be followed after a project has been approved by the respective authorities to be considered under the method.
- ▶ The formats in the annexures could be modified as per the discretion of the concerned authority.
- ▶ **Force Majeure:**

Force Majeure shall include the following:

- i. War, hostilities (whether war be declared or not), invasion, act of foreign enemies,
- ii. Rebellion, terrorism, revolution, insurrection, military or usurped power, or civil war,
- iii. Riot, commotion, Munitions of war, explosive materials, ionising radiation or contamination by radio-activity, except as may be attributable to the Contractor's use of such munitions, explosives, radiation or radio-activity, and
- iv. Natural catastrophes such as earthquake, hurricane, typhoon or volcanic activity.

## **Annexure A: Certificate provided by Project Proponent accepting SCM**

*(To be furnished by project proponent)*

It is certified that:

- ▶ The..... (Name of project) has been submitted by the undersigned as the duly authorised representative of..... (Name of project Proponent) under the swiss challenge method
- ▶ The project proponent will support fair competition through tendering to obtain the best bid.
- ▶ The project proponent agrees to the standard project structure, bidding documents, concession agreement similar to other projects in the sector.
- ▶ The project proponent agrees to abide by the regulatory authority as and when formed by the GoMP or through law.
- ▶ The project proponent does not expect to receive reimbursement of project development cost (pre-feasibility or any other studies), only in case the project is not approved by the SLEC or authority decides not to proceed with project for any reason at later stage before the floating of tender.
- ▶ That the above statements are true to the best of my knowledge and belief

Dated:

*(Signature,  
Name and Designation of  
Authorised Representative of  
Proposal)*

## Annexure I: Institutional framework

### **State Level Empowered Committee constituted vide GoMP Finance department, Letter no. :F-1/42/04-PMU/2097, dated. 04 September 2010**

This Committee would be headed by the Chief Secretary and would grant clearances to investment projects

The approval committee composition:

- Chief Secretary - Chairman
  - ▶ Member committee
    1. Principal Secretary - Finance department
    2. Principal Secretary - Planning department
    3. Principal Secretary - Law department
    4. Additional Chief Secretary/Principal Secretary/Secretary of the administrative department proposing the project
    5. Additional Chief Secretary/Principal Secretary/Secretary of department related with the project (such as Forest, Revenue, Housing & Environment, Urban Administration & Development Department etc.) from which the permissions or assistance is required to execute the project
    6. Commissioner, Directorate of Institutional Finance – Member Secretary
  - ▶ The chairman shall have the right to invite additional members as when it is necessary.
  - ▶ The authority shall be responsible for receiving proposal, undertake preliminary examination, coordinate with DIF for permission to proceed and final approval (in case of PPP projects), preparation of tender documents, and undertake bidding, evaluation of proposals received and award of the project to the successful bidder.
  - ▶ The DIF shall act as a nodal agency and submit the detailed proposal to the SLEC for its approval in case of PPP projects.
  - ▶ The authority shall be responsible for concession agreements, risk allocation from the investment and banking perspectives.
  - ▶ The SLEC shall examine the proposal submitted in the prescribed format and accord the approval on the same if found satisfying.

## Annexure II: Checklist for preliminary assessment under the Swiss challenge method

Name of the project Proponent:

Name of the Project:

S.No	Description	Yes/No	Particulars	Ref/Annexure
<b>I. General Information on the Project</b>				
1	Define the Proposal			
2	Establish whether it is an innovative proposal or not and explain the reason for the project being innovative			
3	Characteristics of the Project			
4	Cost and Other Details			
5	State whether the letter has been submitted by the project proponent adhering the Swiss challenge method			
6	Details of possible competing projects and Likely impact of your project on the competing project			
<b>II. Assessment of Need of the project</b>				
1	Nature of intended use			
2	Justification of need			
<b>III. Details on innovative technology (applicable in case of new technology)</b>				
1	State details of innovative technology used for the project			
2	Is the technology proprietary and only available to a few?			
3	(a) Why should govt. go for this technology only? (b) What if sourcing of another technology has to be made in future during the life of the project for any reason?			
<b>IV. Need for Govt. Support</b>				
1	State the type of govt. support required and why, if any			
2	Will the proponent be able to raise necessary debt and equity to undertake the project? (State how)			
<b>V. Eligibility of the proponent to undertake the project</b>				
1	Is proponent planning to undertake the project on its own or through a consortium			

	to meet the technical, financial and technological needs? Please Elaborate			
<b>VI. Prefeasibility report</b>				
1	State whether the proponent conducted prefeasibility			
2	State whether the preliminary financial viability of the project has done			
3	State whether the proponent shall undertake all the studies which are required within the specified timeframe			
<b>VII. Project Structure</b>				
1	Whether the model (BOOT, BOT etc.), concession period, if any, been mentioned in the report			
<b>VIII. Project Financials</b>				
1	Service/ Output levels (Specify if applicable)			
2	User Fee, Tariff/ fares (Specify) and their variation with time			
3	Provide all IRR details  Provide NPV of the project from income from operations and other forms			
<b>IX. Environmental assessment</b>				
1	State whether the environmental assessment is required for the project			
2	State whether the project proponent has mentioned all related approvals required for the project			
<b>X. Qualification of project proponent</b>				
1	State whether the proponent satisfies the technical qualification criteria			
2	State whether the proponent satisfies the financial qualification criteria			
3	Any other, if any			
<b>XI. Any other</b>				
1	Any other item/ observation which are relevant?			
2	Whether the project proponent agrees to come under the			

	regulatory authority as and when formed by the Govt. or through law?			
--	--	--	--	--

**Note**

- 1 The above format could be modified or additional information sought by the authority any time in future.
- 2 The above reply has to be provided in signed hard copy and soft copy.

Signature of the  
Head of the authority  
/ Agency with Stamp

## Annexure III: Content of pre-feasibility study report

1. Introduction
  - ▶ Project formulation
  - ▶ Aim, objective & methodology
2. Sector Profile
  - ▶ Industry overview with regional specific profile
  - ▶ Key Issues
3. Market Assessment
  - ▶ Industry outlook
  - ▶ Demand assessment
  - ▶ SWOT analysis
  - ▶ Case studies
4. Project Concept
  - ▶ Project description
  - ▶ Explanation of need and innovativeness of the project
  - ▶ Project components
  - ▶ Site location and analysis
  - ▶ Planning considerations
5. Statutory & Legal Framework
  - ▶ Applicable laws
  - ▶ Applicable policies
6. Environmental & Social Impacts
  - ▶ Environmental Impacts
  - ▶ Project related approvals
7. Project Financials
  - ▶ Cost Estimation
  - ▶ Revenue Stream, IRR etc.
  - ▶ Viability Assessment
8. Operation Framework
  - ▶ Risk identification and mitigation
  - ▶ Indicative Project Structure
  - ▶ Option analysis to finalize the PPP model (if applicable)
9. Way Ahead
  - ▶ Any other additional funding required from the government
  - ▶ Govt. Obligations for development
  - ▶ Project Development Framework

**Annexure IV: Appendix A - Memorandum to SLEC for approval for permission to proceed**

<b>Sl.No.</b>	<b>Item</b>	<b>Response</b>
<b>1</b>	<b>General</b>	
1.1	Name of the Project	
1.2	Type of PPP (BOT, BOOT, BOLT, OMT etc.) if applicable	
1.3	Location (State/District/Town)	
1.4	Authority	
1.5	Name of the Implementing Agency	
1.6	Concession Period	
<b>2</b>	<b>Project Description</b>	
2.1	Brief description of the project	
2.2	Justification for the project (Need)	
2.3	Possible alternatives, if any	
2.4	Estimated capital costs with break-up under major heads of expenditure. Also indicate the basis of cost estimation.	
2.5	Investment phasing	
2.6	Project Implementation Schedule (PIS)	
<b>3</b>	<b>Financing Arrangements</b>	
3.1	Sources of financing (equity, debt, mezzanine capital etc.)	
3.2	Indicate the revenue streams of the Project (Annual flows over project life). Also indicate the underlying assumptions.	
3.3	Indicate the NPV of revenue streams	
3.4	Tariff/ user charges? Please specify in detail.	
3.5	Have any FIs been approached? If yes, their response may be indicated	
<b>4</b>	<b>Internal Rate of Return (IRR)</b>	
4.1	Economic IRR (if computed)	
4.2	Financial IRR, indicating various assumptions (attach separate sheet if necessary)	
<b>5</b>	<b>Clearances</b>	
5.1	Status of environmental clearances	
5.2	Clearance required from the State Government and other local bodies	

<b>Sl.No.</b>	<b>Item</b>	<b>Response</b>
5.3	Other support required from the State Government	
5.4	Details of displacement, if any, caused by the project and resettlement plant thereof	
<b>6</b>	<b>Support from GoMP.</b>	
6.1	Viability Gap Funding, if required	
6.2	GoMP guarantees being sought, if any	
<b>7</b>	<b>Request for qualification</b>	
7.1	Does the proponent qualified technically and financially?	
7.2	Does the proponent submitted all the documents that are required for qualification?	
<b>8</b>	<b>Any other, if required</b>	

Signature of the  
Head of the authority  
/ Agency with Stamp

**Annexure IV: Appendix B - Check List for submission of documents for permission to proceed approval from SLEC**

**(Hard Copy -2 Sets and Soft copy – 1 CD)**

<b>Sl. No.</b>	<b>Documents to be Submitted</b>	<b>Applicable (Y/N)</b>	<b>Submitted-Hard Copy (Y/N)</b>	<b>Submitted-Soft Copy (Y/N)</b>
1	Covering Letter from Head of the Organization			
2	Filled in Pro-forma for the projects for the meeting			
3	Prefeasibility report			
4	Project Information Memorandum			
5	RFQ qualification documents of project proponent			
6	Documents relating to any issues on various clearances/ Land Acquisition			
7	Details of any Policy changes required for implementation (if any)			

Signature of the  
Head of the authority  
/ Agency with Stamp

## Annexure IV: Appendix C - Examination of proposal based on annexure II

S.No	Description	Reply of Project proponent	Comments of the authority	Comments of the DIF
<b>I. General Information on the Project</b>				
1	Define the Proposal			
2	Establish whether it is an innovative proposal or not and explain the reason for the project being innovative			
3	Characteristics of the Project			
4	Cost and Other Details			
5	State whether the letter has been submitted by the project proponent adhering the Swiss challenge method			
6	Details of possible competing projects and likely impact of your project on the competing project			
<b>II. Assessment of Need of the project</b>				
1	Nature of intended use			
2	Justification of need			
<b>III. Details on innovative technology (applicable in case of new technology)</b>				
1	State details of innovative technology used for the project			
2	Is the technology proprietary and only available to a few?			
3	(a) Why should govt. go for this technology only? (b) What if sourcing of another technology has to be made in future during the life of the project for any reason?			
<b>IV. Need for Govt. Support</b>				
1	State the type of govt. support required and why, if any			
2	Will the proponent be able to raise necessary debt and equity to undertake the project? (State how)			
<b>V. Eligibility of the proponent to undertake the project</b>				
1	Is proponent planning to undertake the project on its own or through a consortium to meet the technical, financial and technological needs? Please Elaborate			
<b>VI. Prefeasibility report</b>				
1	State whether the proponent conducted prefeasibility/ feasibility			

	DPR			
2	State whether the financial viability of the project is done			
3	State whether the proponent shall undertake all the studies which are required within the specified timeframe			
<b>VII. Project Structure</b>				
1	Whether the model (BOOT, BOT etc.), concession period, if any, been mentioned in the report			
<b>VIII. Project Financials</b>				
1	Service/ Output levels (Specify if applicable)			
2	User Fee, Tariff/ fares (Specify) and their variation with time			
3	Provide the all IRR details Provide NPV of the project from income from operations and other forms			
<b>IX. Environmental assessment</b>				
1	State whether the environmental assessment is required for the project			
2	State whether the project proponent has mentioned all related approvals required for the project			
<b>X. Qualification of project proponent</b>				
1	State whether the proponent satisfies the technical qualification criteria			
2	State whether the proponent satisfies the financial qualification criteria			
3	Any other, if any			
<b>XI. Any other</b>				
1	Any other item/ observation which are relevant?			
2	Whether the project proponent agrees to come under the regulatory authority as and when formed by the Govt. or through law?			

Signature and seal of the Head of the authority with seal & Date

## Annexure V: Content of Detailed Project Report

- 1 Executive Summary
- 2 Project profile
  - ▶ Project objectives
  - ▶ Project sponsors
  - ▶ Project location
- 3 Proposed business profile
  - ▶ Product mix
  - ▶ Estimated production and investments
- 4 Market analysis
  - ▶ Current scenario
  - ▶ Demand assessment
  - ▶ Strategies
  - ▶ Growth drivers
  - ▶ SWOT
- 5 Establishing the need of the project
  - ▶ Detailed explanation of unique and innovativeness of the project
  - ▶ Demonstration of Need of the project
  - ▶ Demonstration of being in compliance with plans of department
  - ▶ Demonstration of no conflict with any department scheme which provides the same service
- 6 Policy support and activities
  - ▶ Government initiatives
  - ▶ Special government schemes
  - ▶ Policy packages

## 7 Land and site analysis

- ▶ Site location
- ▶ Land ownership and land cost
- ▶ Geographical conditions

## 8 Proposed master plan, technical specifications & project cost estimates

- ▶ Utility relocation plan
- ▶ Engineering surveys and investigations
- ▶ Layout plans and drawings
- ▶ Proposed common infrastructure, facilities etc.
- ▶ Design criteria and spatial requirements
- ▶ Preparation of BOQ
- ▶ Technical parameters, specifications and drawings
- ▶ Cost estimates of the project

## 9 Project means of finance & financial appraisal

- ▶ Means of financing
- ▶ Appraisal framework and objectives
- ▶ Financial projections
- ▶ Value for Money analysis (if applicable)

## 10 Identification of risks

- ▶ Risk identification
- ▶ Risk allocation and mitigation techniques

## 11 Economic benefits of the project

## 12 Environment assessment (if applicable)

- ▶ Environmental impact assessment
- ▶ Social assessment
- ▶ Project related approvals

13 Project structure and implementation schedule

- ▶ Framework for project implementation
- ▶ Contractual framework
- ▶ Role of project consultant and project proponent
- ▶ Model concessionaire agreement

14 Project operation and maintenance

- ▶ Operation and maintenance framework

15 List of Annexures (To be submitted as applicable)

- ▶ Memorandum and articles of association
- ▶ List of participating entrepreneurs
- ▶ Land documents (if any)
- ▶ Draft shareholders agreement
- ▶ Draft lease and license agreement
- ▶ Draft procurement process

16 Any other documents as required by the authority

### Annexure VI: Appendix A - Format for submission of detailed proposal

S.No.	Item	Response
<b>1</b>	<b>General</b>	
1.1	Name of the Project	
1.2	Type of PPP (BOT, BOOT, BOLT, OMT etc.), if applicable	
1.3	Location (State/District/Town)	
1.4	Authority	
1.5	Name of the Implementing Agency	
1.6	Concession Period	
<b>2</b>	<b>Project Description</b>	
2.1	Brief description of the project	
2.2	Justification for the project (Need)	
2.3	Possible alternatives, if any	
2.4	Estimated capital costs with break-up under major heads of expenditure. Also indicate the basis of cost estimation.	
2.5	Investment phasing	
2.6	Project Implementation Schedule (PIS)	
<b>3</b>	<b>Financing Arrangements</b>	
3.1	Sources of financing (equity, debt, mezzanine capital etc.)	
3.2	Indicate the revenue streams of the Project (Annual flows over project life). Also indicate the underlying assumptions.	
3.3	Indicate the NPV of revenue streams	
3.4	Tariff/ user charges? Please specify in detail.	
3.5	Have any FIs been approached? If yes, their response may be indicated	
3.6	Value for Money Analysis	
<b>4</b>	<b>Internal Rate of return (IRR)</b>	
4.1	Economic IRR (if computed)	
4.2	Financial IRR, indicating various assumptions (attach separate sheet if necessary)	
<b>5</b>	<b>Clearances</b>	
5.1	Status of environmental clearances	
5.2	Clearance required from the State Government and other local bodies	

S.No.	Item	Response
5.3	Other support required from the State Government	
<b>6</b>	<b>Support from GoMP</b>	
6.1	Viability Gap Funding, if required	
6.2	GoMP guarantees being sought, if any	
<b>7</b>	<b>Concession Agreement</b>	
7.1	Is the Concession Agreement based on MCA? If yes, indicate the variations, if any, in a detailed note (to be attached)	
7.2	Details of Concession Agreement (To be attached along with the submission)	
<b>8</b>	<b>Others</b>	
8.1	Remarks, if any	

Signature of the  
Head of the authority  
/ Agency with Stamp

**Note**

- 1 The above format could be modified or additional information sought by the authority any time in future.
- 2 The above reply has to be provided in signed hard copy and soft copy.

## Annexure VI: Appendix B - Project financial summary

Sl.No.	Item	Response
1.1	Name of the Project	
1.2	Type of PPP (BOT, BOOT, BOLT, OMT etc.), if applicable	
1.3	Capacity of the Project	
1.4	Concession Period	
2	Project cost	
2.1	Land cost	
2.2	Building cost	
2.3	Plant & Machinery cost	
2.4	Operation & maintenance cost	
2.5	Other Costs if any	
3	Financing Arrangements	
3.1	Financing Structure (% of equity and debt)	
3.2	Interest on debt (Assumed)	
4	Revenue streams for each Concession Year	
4.1	Revenue from Tariff.	
4.2	Revenue from Advertising	
4.3	Other Revenue Streams	
4.4	Indicate the NPV of revenue streams with 12% discounting	
5	IRR	
5.1	Economic IRR (if computed)	
5.2	Equity IRR	
5.3	Project IRR	
6	Other remarks, if any	

Excel Sheet Format to be provided for year wise information (as applicable) for the Concession period

Signature of the  
Head of the authority  
/ Agency with Stamp

## Annexure VI: Appendix C - Check List for submission of documents

(Hard copy – 3 sets and Soft copy – 1 set)

Sl. No.	Documents to be Submitted	Applicable (Y/N)	Submitted-Hard Copy (Y/N)	Submitted-Soft Copy (Y/N)
1	Covering Letter from Head of the Organization			
2	Filled in Pro-forma for the projects for the assessment meeting			
3	Detailed Project Report			
4	Project Information Memorandum			
5	Bid security & value			
6	Draft Concession Agreement and any changes undertaken to MCA			
7	Documents relating to any issues on various clearances/ Land Acquisition			
8	Details of any Policy Changes Required for implementation (if any)			
9	Project implementation schedule			
10	Details for any other support required during implementation			

Signature of the  
Head of the authority  
/ Agency with Stamp

## Annexure VI: Appendix D - Brief particulars of the concession agreement

**A. Administrative Department:  
the Project:**

**B. Name and location of**

**C. Legal consultant:**

**D. Financial consultant:**

Sl.No.	Item	Response (To be filled only if applicable)
1	General	
1.1	Scope of the Project	
1.2	Nature of Concession to be granted	
1.3	Period of Concession and justification for fixing the period	
1.4	Estimated capital cost	
1.5	Likely construction period	
1.6	Conditions precedent, if any, for the concession to be effective	
1.7	Status of land acquisition	
2	Construction and O&M	
2.1	Monitoring of construction; whether an independent agency/engineer is stipulated	
2.2	Minimum standards of Operation and Maintenance	
2.3	Penalties for violation of prescribed O&M standards	
2.4	Safety related provisions	
2.5	Environment related provisions	
3	Financial	
3.1	Maximum period for achieving financial Close	
3.2	Nature and extent of capital grant/ subsidy stipulated	
3.3	Bidding parameter (capital subsidy or other parameter)	
3.4	Provisions for change of scope and the financial burden thereof	
3.5	Concession fee, if any, payable by the Concessionaire	
3.6	User charges/ fee to be collected by the Concessionaire	
3.7	Indicate how the user fee has been determined; the legal provisions in support of user fee (attach the relevant rules/ notification); and the extent and nature of indexation for inflation	

<b>Sl.No.</b>	<b>Item</b>	<b>Response (To be filled only if applicable)</b>
3.8	Provisions, if any, for mitigating the risk of lower revenue collection	
3.9	Provisions relating to escrow account, if any	
3.10	Provisions relating to insurance	
3.11	Provisions relating to audit and certification of claims	
3.12	Provisions relating to assignment/ substitution rights relating to lenders	
3.13	Provisions relating to change in law	
3.14	Provisions, if any for compulsory buy-back of assets upon termination/ expiry	
3.15	Contingent liabilities of the government	
	(a) Maximum Termination Payment for Government/ Authority Default	
	(b) Maximum Termination Payment for Concessionaire Default	
	(c) Specify any other penalty, compensation or payment contemplated under the agreement	
4	Others	
4.1	Provisions relating to competing facilities, if any	
4.2	Specify the proposed Dispute Resolution Mechanism	
4.3	Specify the proposed governing law and jurisdiction	
4.4	Other remarks, if any	

Signature of the  
Head of the authority  
/ Agency with Stamp

**Annexure VII: Examination by the authority & DIF (if applicable)**

**Name of the Project Proponent:**

**Name of the Project:**

Sl.No (1)	Item (2)	Comments of the consultant/TA (3)	Comments of the authority (4)	Comments of the DIF, if applicable
1	If the department has obtained initial approval to proceed with the innovative proposal			
2	If the project proponent submitted the proposal in time			
3	If the DPR contains all the elements for undertaking the project to bidding stage as per project requirement and the format in the guideline.			
4	Is the project proponent is bidding on its own or through a consortium? If the Proposal proponent (along with any consortium) has ability to construct and /or operate the project as per the qualification norms			
5	State the Direct cost of preparing the DPR			
6	If the Bid Value has been submitted in a sealed cover in the prescribed Format.			
7	Post submission of the DPR, please state if any changes have been made to the same.			
8	Please indicate if there has been any changes in the final submission w.r.t the initial submission of proposal by the Proponent			
9	Please state the undertaking an open and competitive bidding			
10	Please state of additional studies were carried out			

SI.No (1)	Item (2)	Comments of the consultant/TA (3)	Comments of the authority (4)	Comments of the DIF, if applicable
	by the authority for the project, project cost, project revenues, viability and risk analysis etc. and if required including Value for Money test, if required			
12	<ul style="list-style-type: none"> <li>▶ Is the TA selection based on the DIF approved panel adopted by GoMP.</li> <li>▶ Provide the TA contact details</li> <li>▶ Please indicate if the transaction documents are as per the recommended Model RFP documents and;</li> <li>▶ What is the cost of Transaction Advisory</li> <li>▶ Indicate any other Costs undertaken by the Department</li> </ul>			
13	Please indicate if the authority is observing all the norms as per the swiss challenge guideline			

**Note**

- 1 While preparing the reply on this format, state the references, reasoning that are required to be placed; indicate the relevant references in annexure.

Signature and seal of  
the authority with seal  
Date

**Annexure VIII: Appendix A - Format for Submission of detailed proposal**

<b>Sl.No</b>	<b>Item</b>	<b>Comments of consultant/TA</b>	<b>Comments of the authority</b>	<b>Comments of DIF, if applicable</b>
<b>1</b>	<b>General</b>			
1.1	Name of the Project			
1.2	Type of PPP (BOT, BOOT, BOLT, OMT etc.) if applicable			
1.3	Location (State/District/Town)			
1.4	Authority			
1.5	Name of the Implementing Agency			
1.6	Concession Period			
<b>2</b>	<b>Project Description</b>			
2.1	Brief description of the project			
2.2	Justification for the project ( Need)			
2.3	Possible alternatives, if any			
2.4	Estimated capital costs with break-up under major heads of expenditure. Also indicate the basis of cost estimation.			
2.5	Investment phasing			

Sl.No	Item	Comments of consultant/TA	Comments of the authority	Comments of DIF, if applicable
2.6	Project Implementation Schedule (PIS)			
<b>3</b>	<b>Financing Arrangements</b>			
3.1	Sources of financing (equity, debt, mezzanine capital etc.)			
3.2	Indicate the revenue streams of the Project (Annual flows over project life). Also indicate the underlying assumptions.			
3.3	Indicate the NPV of revenue streams			
3.4	Tariff/ user charges? Please specify in detail.			
3.5	Have any FIs been approached? If yes, their response may be indicated			
3.6	Value for Money Analysis			
<b>4</b>	<b>Internal Rate of return (IRR)</b>			
4.1	Economic IRR (if computed)			
4.2	Financial IRR, indicating various assumptions (attach separate sheet if necessary)			
<b>5</b>	<b>Clearances</b>			
5.1	Status of environmental clearances			
5.2	Clearance required from the State Government and other local bodies			
5.3	Other support required from the			

Sl.No	Item	Comments of consultant/TA	Comments of the authority	Comments of DIF, if applicable
	State Government			
<b>6</b>	<b>Support from GoMP</b>			
6.1	Viability Gap Funding, if required			
6.2	GoMP guarantees being sought, if any			
<b>7</b>	<b>Concession Agreement</b>			
7.1	Is the Concession Agreement based on MCA? If yes, indicate the variations, if any, in a detailed note (to be attached)			
7.2	Details of Concession Agreement (To be attached along with the submission)			
<b>8</b>	<b>Criteria for short-listing</b>			
8.1	Is short-listing to be in one stage or two stages?			
8.2	Indicate the criteria for short-listing (attach separate sheet if necessary)			
<b>9</b>	<b>Others</b>			
9.1	Remarks, if any			

Signature and seal of  
the authority with seal  
Date

### Annexure VIII: Appendix B - Project Financial Summary

Sl.No.	Item	Comments of consultant/TA	Comments of the authority	Comments of the DIF, if applicable
1.1	Name of the Project			
1.2	Type of PPP (BOT, BOOT, BOLT, OMT etc.), if applicable			
1.3	Capacity of the Project			
1.4	Concession Period			
2	Project cost			
2.1	Land cost			
2.2	Building cost			
2.3	Plant & Machinery cost			
2.4	Operation & maintenance cost			
2.5	Other Costs if any			
3	Financing Arrangements			
3.1	Financing Structure (% of equity and debt)			
4	Revenue streams for each Concession Year			
4.1	Revenue from Tariff.			
4.2	Revenue from Advertising			
4.3	Other Revenue Streams			
4.4	Indicate the NPV of revenue streams with 12% discounting			
5	IRR			
5.1	Economic IRR (if computed)			
5.2	Equity IRR			
5.3	Project IRR			
6	Others, if any			

Signature and seal of  
the authority with seal  
Date

**Annexure VIII: Appendix C - Check List for submission of documents**

**(Hard copy – 3 sets and Soft copy – 1 set)**

<b>Sl. No.</b>	<b>Documents to be Submitted</b>	<b>Applicable (Y/N)</b>	<b>Submitted-Hard Copy (Y/N)</b>	<b>Submitted-Soft Copy (Y/N)</b>
1	Covering Letter from Head of the Organization			
2	Filled in Pro-forma for the projects for the assessment meeting			
3	Detailed Project Report			
4	Project Information Memorandum			
5	Bid security & value			
6	Draft Concession Agreement and any changes undertaken to MCA			
7	Documents relating to any issues on various clearances/ Land Acquisition			
8	Details of any Policy Changes Required for implementation (if any)			
9	Project implementation schedule			
10	Details for any other support required during implementation			

\*Please indicate your response wherever applicable

Signature and seal of  
the authority with seal  
Date

**Annexure VIII: Appendix D - Brief particulars of the concession agreement**

**A. Administrative Department:  
the Project:**

**B. Name and location of**

**C. Legal consultant:**

**D. Financial consultant:**

Sl.No.	Item	Comments of consultant/TA	Comments of the authority	Comments of the DIF, if applicable
1	General			
1.1	Scope of the Project			
1.2	Nature of Concession to be granted			
1.3	Period of Concession and justification for fixing the period			
1.4	Estimated capital cost			
1.5	Likely construction period			
1.6	Conditions precedent, if any, for the concession to be effective			
1.7	Status of land acquisition			
2	Construction and O&M			
2.1	Monitoring of construction; whether an independent agency/engineer is stipulated			
2.2	Minimum standards of Operation and Maintenance			
2.3	Penalties for violation of prescribed O&M standards			
2.4	Safety related provisions			
2.5	Environment related provisions			
3	Financial			
3.1	Maximum period for achieving financial Close			
3.2	Nature and extent of capital grant/ subsidy stipulated			

Sl.No.	Item	Comments of consultant/TA	Comments of the authority	Comments of the DIF, if applicable
3.3	Bidding parameter (capital subsidy or other parameter)			
3.4	Provisions for change of scope and the financial burden thereof			
3.5	Concession fee, if any, payable by the Concessionaire			
3.6	User charges/ fee to be collected by the Concessionaire			
3.7	Indicate how the user fee has been determined; the legal provisions in support of user fee (attach the relevant rules/ notification); and the extent and nature of indexation for inflation			
3.8	Provisions, if any, for mitigating the risk of lower revenue collection			
3.9	Provisions relating to escrow account, if any			
3.10	Provisions relating to insurance			
3.11	Provisions relating to audit and certification of claims			
3.12	Provisions relating to assignment/ substitution rights relating to lenders			
3.13	Provisions relating to change in law			
3.14	Provisions, if any for compulsory buy-back of assets upon termination/ expiry			
3.15	Contingent liabilities of the government			
	(a) Maximum Termination Payment for Government/ Authority Default			
	(b) Maximum			

Sl.No.	Item	Comments of consultant/TA	Comments of the authority	Comments of the DIF, if applicable
	Termination Payment for Concessionaire Default			
	(c) Specify any other penalty, compensation or payment contemplated under the agreement			
4	Others			
4.1	Provisions relating to competing facilities, if any			
4.2	Specify the proposed Dispute Resolution Mechanism			
4.3	Specify the proposed governing law and jurisdiction			
4.4	Other remarks, if any			

Signature and seal of  
the authority with seal  
Date

## **Annexure IX: Request for Qualification criteria for the project proponent**

1. A person or lead member should have an average turnover of minimum of 100% project cost in the last three financial years. And in case of Joint venture/consortium, a total turnover of minimum of 100% of project cost in last three financial years by lead member and other members having a turnover of minimum 20% each. The net worth of each member should be a minimum of 25% of total project cost. The audited balance sheets of last three financial years shall be submitted.
2. The person or lead member should have experience in handling at least 3 similar projects costing more than 100% of total project cost over the last 10 years in projects where the contract has been awarded and work has started. (Work order/completion certificate from the client shall be provided in the bid document).
3. In case of consortium, the consortium members in addition to holding 26% equity, the member would now be required to also hold equity equal to 5% of the total project cost for two years from date of commercial operation of the project.
4. Power of attorney from the lead member: An authorized person of the firm shall sign the proposal, on behalf of the firm. The Power of Attorney of the authorized person in his favour from all the members should be on stamp paper duly notarized or Board resolution should be submitted along with the proposal.
5. The bidder should not be blacklisted by Central govt. /any state govt. /semi govt. agency. An undertaking that the bidder hasn't been blacklisted by any government institution must be submitted.
6. Certificate of incorporation.