

Application Document
for
Prequalification of Consultants
for
Expansion of Ratmalana workshop for repairs of
locomotives and rolling stock and construction of a new
running shed and a yard with parking facilities at
Dematagoda, Sri Lanka

Export-Import Bank of India
Date: November 30, 2018

**INVITATION FOR PREQUALIFICATION FOR
CONSULTANCY SERVICES
FOR
GOVERNMENT OF INDIA LINES OF CREDIT (LOC) PROJECTS**

The Export-Import Bank of India (hereafter Exim Bank, or the Bank), on behalf of the Government of India (GOI), extends from time to time, concessional credit facilities under the Indian Development and Economic Assistance Scheme (IDEAS) to overseas governments/ their nominated agencies in developing countries for financing projects involving procurement of goods, civil works, consulting and non-consulting services to be contracted to Indian entities.

These Lines of Credit (LOCs) are governed by the Guidelines issued by the GOI from time to time. As per the extant guidelines issued vide letter no No. 21/3/2015-IDEAS dated December 07, 2015, the Bank is required to carry out a prequalification exercise and provide a list of prequalified bidders to the Borrower for invitation of bids for specific contract packages under the project(s) financed by the LOCs.

In pursuance of the above, the Bank invites applications from eligible Indian entities for prequalification as Consultant for Expansion of Ratmalanaworkshop for repairs of locomotives and rolling stock and construction of a new shed and a yard with parking facilities at Dematagoda, Sri Lanka.

An upfront and non-refundable Processing Fee of INR 25,000 plus applicable GST (presently 18%) is payable through NEFT transfer as per details given below:

[i]	Applicant Name	<Applicant Name>
[ii]	Name of Beneficiary	Export-Import Bank of India
[iii]	Beneficiary's Bank Name	AXIS BANK, CUFFE PARADE
[iv]	Account No.	447010200000268
[v]	IFSC Code	UTIB0000447
[vi]	GST Number	27AAACE2769D1ZS

The preparation and submission of Application for prequalification **must be submitted in dual mode (on-line as well as off-line)** in accordance with the provisions of the Application Document.

Completed Applications (off-line) in accordance with the provisions of the Application Document along with NEFT acknowledgement receipt should be delivered physically by 15:00 hours, December 31, 2018 at the following address:

Mr. Ajay Rana
Assistant General Manager
Lines of Credit Group, Export-Import Bank of India
7th Floor, Office Block, Tower 1,
Adjacent Ring Road, East Kidwai Nagar
New Delhi 110023
E-mail: eximloc@eximbankindia.in
Website : www.eximbankindia.in

This Application Document (AD) consists of the following Parts:

Part I. Scope of Consultancy Services

This Part includes a summary description and other data on this prequalification process and of the prospective contract to be awarded by the Borrower Government/ Procuring Entity subsequent to this prequalification.

Part II. Instructions to Applicants (ITA)

This Part provides information to the Applicants in preparing and submitting their Applications for Prequalification (“Applications”) and the procedures for this prequalification process.

Part III. Data Sheet (DS) to ITA

This Part includes specific provisions that supplement Part II, Instructions to Applicants.

Part IV. Prequalification Criteria and Requirements

This Part specifies the criteria and requirements and the procedure to be used to determine how Applicants shall be prequalified and later to be invited to bid by Borrower Government / Procuring Entity.

Part V. Forms

This Part includes the Application Submission Form and other forms required to be submitted with the Application.

Part VI. Questionnaire for Applicants

This questionnaire requires the prospective Applicants to furnish certain basic information, and confirm certain facts relating to their firm/ joint venture with respect to past performance and prospective engagement.

Application Document

for

Prequalification of Consultant for
Expansion of Ratmalana workshop for repairs of
locomotives and rolling stock and construction of a new
running shed and a yard with parking facilities at
Dematagoda, Sri Lanka

**Invitation for Prequalification
No.: GOILOC-242/GOSL/CS-13**

Issued on: November 30, 2018

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Part I: Scope of Consultancy Services

The Export-Import Bank of India (Exim Bank or the Bank), on behalf of the Government of India has approved financing of a project for Expansion of Ratmalana Workshop for repairs of locomotives and rolling stock and construction of a new running shed and a yard with parking facilities under a Line of Credit (LOC) to Government of Sri Lanka and a part of the amount is allotted for Consultancy services, for which the Bank now seeks application for prequalification from eligible entities. Refer Part II ITA 4 for eligibility provisions.

A] Description of the Project

The project involves setting up of a modern maintenance facility consisting of heavy maintenance facilities at Ratmalana and running maintenance facilities at Dematagoda.

The main components are:

1. Setting up a maintenance workshop equipped to undertake heavy repair of Diesel locomotives and Diesel Electrical Multiple Units for Chief Mechanical Engineer Workshop – Ratmalana.
2. Construction of a new running shed and a yard with parking facilities for Motive Power Sub Department at Dematagoda.

Scope of Consultancy Services:

The scope of works is categorized into two parts, one is the detailed design of maintenance facilities projects (design part), and the other is the procurement assistance of the work contractors (procurement part) and supervision.

The consultant is expected to carry out the design part assignment in accordance with the below classifications considering the developmental requirements in the future.

- i. Detailed design of a new locomotive maintenance workshop at Ratmalana for major overhaul including the procurement support.
- ii. Detailed design of new diesel electric multiple unit (DEMU) workshop for scheduled maintenance and at Maligawatta (Dematagoda) with additional yard facilities including the procurement support.

The detailed tasks below are applicable for both i and ii above, and the consultant shall prepare detailed design reports separately for both of the above by fulfilling the tasks described below.

The scope of services to be provided by the consultant shall constitute, but not be limited to, the following requirements:

Task I. Technical Feasibility Study and preparation of DPR

a) Technical Feasibility Study:

- i. Review all relevant studies, reports, materials and documents as available in Sri Lanka Railways for the construction of new workshops at Ratmalana and Maligawatta. The conceptual design of the maintenance facilities of the study scope prepared by Sri Lanka Railways are available for the purpose.
 - ii. Review information on the ongoing and planned future development works by the Government of Sri Lanka (GOSL) and the private sector in and around the nominated project sites and mitigate conflict of interests, if any.
- b) Examine nominated sites at Ratmalana and Maligawatta and consult all relevant agencies/ stakeholders/ officials. Take details of all findings into consideration during detailed design.
- c) Carry out necessary investigations to establish the most suitable alignment for new workshops and connectivity from nearest railhead, track/yard, etc., keeping in view the safety issues involved in train operations/signaling systems.
- d) Study the requirement for stabling lines at new workshops, at Ratmalana and Maligawatta and their capacity to stable rolling stock arriving for maintenance, special repairs (accidental) and surplus locomotive and DMUs especially during off-peak hours.
- e) Examine and define necessary details for earth work, foundation layout, etc., to avoid problems during construction work.
- f) Carry out detailed soil, hydrological and environmental investigations before finalizing alignment and layouts.
- g) Assess details of the ongoing and future development plans, such as electrifications project funded by ADB etc., to avoid future conflict in alignments.
- h) Finalize procurement packages and frame suitable specifications for all maintenance equipment required to be placed inside the workshops and shed with quantity justifications.
- i). Conduct a study covering the surrounding areas for fixing formation levels of the proposed structures; and recommend proper drainage system.
- j) Examine existing rolling stock day-to-day maintenance practices/facilities while recommending additional modern rolling stock maintenance systems for diesel-electric locomotives and DEMUs undergoing scheduled maintenance and overhaul.
- k) DPR should conform to the extant IDEAS guidelines issued vide letter no No. 21/3/2015-IDEAS dated December 07, 2015 by Govt. of India.

Task II. Detailed Engineering Designs:

- (a) Carry out a survey of ground and soil condition, hydrological survey, geometrical features and plot locations, etc., in consultation with Sri Lanka Railways. This includes the investigation of the condition of drainage structures and foundation required for the detailed design of the selected

- alignment. The detailed engineering design shall be based on investigations undertaken in accordance with the international codes and scope of work.
- (b) Prepare detailed alignment design and layout plan in conjunction with the proposed rail connectivity from nearest railhead, track/yard, etc., keeping in view the safety issues involved in train operations/signaling systems.
 - (c) Prepare a map showing all existing structures on the proposed site/plot; dismantling work requirements, if any, in consultation with Sri Lanka Railway.
 - (d) Prepare engineering drawings and layout plans for various facilities, foundations and structural details for various shops to be constructed together with detailed design of various maintenance sections in consultation with Sri Lanka Railway.
 - (e) Prepare detailed technical specifications for maintenance equipment, facilities and test equipment to be provided in each workshop/section with suitable capacity as per the workloads. Provide cost estimates/justifications, considering relevant and proven specifications used internationally.
 - (f) Establish effective coordination and communication between Sri Lanka Railway and relevant government agencies as required.
 - (g) Work out capital costs of the proposed projects and update the economic and financial implications based on revised cost and other findings of detailed design.
 - (h) Calculate power requirements to establish an electrical substation within the new workshop boundary and supply system and transmission lines to the workshop with suitable safety cutouts and junction boxes. Study and suggest additional power requirements Ratmalana new workshops and Maligawatta shed as needed in view of modernization and expansion.
 - (i) Prepare the detailed work plan/schedule covering phasing of construction of various facilities. Prepare and finalize a maintenance plan for resources/facilities within the workshop in consultation with SLR for the new workshop at Ratmalana and Maligawatta shed.
 - (j) Prepare detailed design for draining oil and water from locomotives and DMUs and suitable disposal system for used oil, grease, treated water and used oil filters in view of the environment protection considerations. Design provision for suitable effluent treatment plant (ETP) and oil separators with drainage system leading to ETP in new workshop.
 - (k) Prepare engineering design, drawings and layout plan for protection works, other structure, office and functional buildings, drainage, sanitation, electrical works and rolling stock maintenance facilities such as loco and DEMU washing line/pits, sick lines, watering facilities and operational and other facilities.
 - (l) Prepare detailed design for establishment of maintenance and overhauling facilities for precision components of locomotives/DEMUs like dust-proof rooms for maintenance and testing of brake system components, governors, and electronic components, etc.
 - (m) Consider provision for a suitable size/capacity of a compressor indoor and pneumatic pipelines to be provided in all maintenance sections of the proposed new workshop at Ratmalana with a provision of air dryers to facilitate dry air for maintenance purposes.
 - (n) Design a loco/DMU fueling facility with suitable storage capacity at Maligawatta in consultation with Sri Lanka Railway.
 - (o) Design sectional layout with various maintenance facilities for locomotives and DEMUs superstructure, diesel engines, bogies, mechanical and electrical components and equipment,

Part I. Scope of Consultancy Services

including roof mounted and underslung etc. Install layout of equipment and machinery required for maintenance to suit workflow process, avoiding crisscross movement of components under maintenance causing bottle necks. Provide justification for proposed maintenance machinery and equipment to be installed inside new workshop, Ratmalana and Maligawatta shed. and layout justification vis-a-vis maintenance flow process.

- (p) Design a wheel maintenance shop with wheel maintenance machines like CNC wheel surface lathe machine, wheel press, etc., together with facilities for dustproof bearing maintenance room. Layout justification vis-a-vis work activities/flow processes.
- (q) Design suitable storage building to facilitate stocking spare parts with a provision for storage of palletized and non-palletized components.
- (r) Design cleaning facility of components locomotive and DMU.
- (s) Design a security office, time office and other necessary offices in consultation with Sri Lanka Railway.

Task III. Cost Estimates and Bid Documents:

- (a) Prepare detailed design and cost estimates for survey work, design and construction, equipment and facilities including installation together with detailed bill of quantities as required for the bid documents and monitoring purposes. Propose recommended procurement packages for the designed works.
- (b) Prepare separate bill of quantities and bid documents for phase-wise construction works following the agreed procurement packages in consultation with SLR.
- (c) Prepare a unit rate analysis report for each item included in the cost estimate along with all background/breakup calculation.
- (d) Prepare cost estimates for each cost components, e.g. works, equipment and machinery, tax and duties etc. in consultation with Sri Lanka Railway.
- (e) Updated technical specifications, in consultation with Sri Lanka Railway, and reflect them in the bidding documents.

Task IV. Design Coordination, and Quality Assurance

Ensure the design integrity of the individual components or elements of the detailed design. The responsibilities also include standardization of design, quality management and quality assurance for all stages in the design process and compliance, including all applicable codes, rules and processes used including all equipments and machinery. The specific responsibilities for design coordination and quality assurance include, but are not limited to, the following:

Project management and coordination :

- (i) Prepare a detailed task schedule during inception and follow up the schedule.
- (ii) Follow-up internal and external deliverables and approvals.
- (iii) Closely monitor and coordinate survey and investigations to be conducted by third parties, if any, and verify their reports.

Establish design standards and approval procedures :

- (i) Review and if needed, revise or supplement in close cooperation with Sri Lanka Railway, the design criteria, standard designs and drawings, cost estimate, standard specifications, codes, etc., applicable for all the projects.
- (ii) Take necessary actions to support the approval process within GOSL/Sri Lanka Railway based on its clear understanding of internal process.
- (iii) Advise Sri Lanka Railway if modifications are required on the agreed or approved scope of work/design/drawings/specification/cost estimate, etc., with proper justification.

Quality control and quality assurance

- (i) Establish quality control and quality assurance system for all design steps and deliverables.

Task V. Procurement Assistance

- (a) Prepare the procurement plan and the bidding documents for each procurement package.
- (b) Assist Sri Lanka Railway in advertising, issuing bidding documents, responding to queries, receiving and evaluating applications and other procurement-related activities.

Execution Stage

- Inspection of materials at manufacturer's works before dispatch to site;
- Supervision of civil works, and monitoring of implementation of the project;
- Evaluation of operations and maintenance; and
- Post-commissioning stages of a project.
- Preshipment inspection of machinery and equipments by the client or his representative.

Control of Works -

- **Timing:**

The Consultant will liaise with the Employer's Representatives to validate the implementation schedule for the entire operation, showing the key dates and the expected results on those dates. This validation will be carried out in conjunction with the contractor and the client. The Consultant will ensure the timely implementation of this schedule.

- **Periodic progress reports:**

The Consultant will participate in quarterly site meetings organized by the project management structure; it shall draw up reports thereon. On the basis of these documents and according to the timetable, the Consultant will draw up a quarterly progress report on the project, which will be submitted to the Employer in paper and digital form, with the latter's agreement.

Part I. Scope of Consultancy Services

- **Pre-shipment Inspection in the manufacturer's workshops:**

In consultation with the representatives duly appointed by the Employer, the Consultant will carry out the pre-shipment inspection of the main equipment (factory audit).

This activity, under the responsibility of the Consultant, will be carried out, on the one hand, in the workshops of the manufacturer and, on the other, in the Consultant's offices, for the preparation and drafting of the corresponding reports.

Control of civil works:

The Consultant shall, for the necessary period of time, perform the following tasks:

- Ensure strict application and observance of the contractual requirements;
- Ensure proper execution of the works, installation of structures; the consistency and reliability of the site facilities; tests for the suitability and control of concrete and their composition;
- The methods of execution and conformity of all materials and their proper installation;
- Execution tolerances and stability of structures;
- Inform the Project Manager regularly of the progress of the work;
- Check the execution and operational manuals submitted by the Contractor;
- Prepare the provisional acceptance of the works;
- Ensure application of hygiene and safety standards on site.

Installation of equipment:

- The Consultant shall perform the following tasks for the necessary period of time:
- Control the conformity of the material against the packing slips;
- Ensure strict application of market requirements and adherence to good engineering practice;
- Ensure proper execution of the structures, mainly ensuring: the importance of site facilities and their reliability; assembly of circuits and equipment (assembly, welding and connections, etc.); methods and tolerances of execution;
- Ensure compliance and reliability of all safety devices;
- Check that: all installed equipment is properly identified (wiring, circuits, equipment, etc.); all measuring and control devices are properly connected, adjusted and calibrated;
- Ensure that all tests of suitability and operation of the equipment and circuits are carried out in accordance with the specifications and the standards in force;

- No relaxations concerning the modification of the operating principle and the tests of the safety and control devices shall be granted without the authorization of the Employer;
- Inform the Project Manager regularly of the progress of the work;
- Checking operating manuals submitted by the Contractor;
- Prepare the provisional acceptance of the works and certify test runs results;
- Ensure implementation of basic occupational hygiene and safety standards.

"As Built" Plans:

- At the end of the project, the Consultant will check the updating of the "as-built" plans, technical leaflets and various documents at the expense of the contractor.
- Commissioning and testing:

The Consultant shall assist in:

- Preliminary commissioning tests;
- Provisional acceptance after performance verification and the lifting of reservations.
- During the warranty period, the Consultant will assist and advise the Client, at the latter's request, regarding serious incidents or operating problems that may arise.

B] Site and other Data

Sri Lanka Railways proposes to establish heavy maintenance facility at Ratmalana and running maintenance facilities at Dematagoda.

Ratmalana is a suburb in the Colombo District in Sri Lanka. Ratmalana Airport is also located here. At Ratmalana, two maintenance shops, one for Diesel Locomotives and Power Cars, and the other for DEMU coaches including AC Coaches it to be established. The workshop shall also house a two storied main office building for the office, stores and other in house maintenance purposes.

Dematagoda Railway Station located at 4.54 km away from Colombo Fort and between Maradana railway station and Kelaniya railway station, Colombo district in western Province. Dematagoda workshop shall be equipped with an elevated office complex, shed, washing facility for coaches, workshop facility, yard arrangements, as well as break down and emergency rescue facility.

The role of the Consultant shall continue until the end of the contract. The total duration of the services is expected to be 27months.

The DPR for the project is expected to be completed within 2 months from the date of the contract.

D] GOI Guidelines

As per the GOI guidelines, goods, works and services for minimum 75% value of the contracts covered under these Lines of Credit, must be sourced from India. Applicants are advised to refer to the GOI guidelines mentioned above for details available at:

<http://www.eximbankindia.in/assets/pdf/loc/GOI-Guidelines-on-LOC.pdf>

Part II. Instructions to Applicants (ITA)**Table of Articles**

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Part II. Instructions to Applicants

A. General

1. Background

- 1.1 The Export-Import Bank of India (hereinafter called “the Bank”), on behalf of the Government of India (GOI), extends from time to time, concessional credit facilities (hereinafter called “Lines of Credit”) under the Indian Development and Economic Assistance Scheme (IDEAS) to overseas governments or their nominated agencies (hereinafter called “Borrower or Employer”), for financing projects to be executed by Indian entities. Payment by the Bank to the Indian exporters will be made only at the request of the Borrower and upon approval by the Bank, and will be subject, in all respects, to the terms and conditions of the credit (or financing) agreement.

**2. Scope of
Prequalification**

- 2.1 With reference to the Invitation for Prequalification (IFP) indicated in Part III, Data Sheet (**DS**), this Application Document (“Application Document”) is being issued by the Bank to prospective applicants (“Applicants”) interested in submitting applications (“Applications”) for prequalification as per the scope described in Part I, Scope of Consultant Services and subject to the provisions of this Application Document.

**3. Ethics and
Integrity**

- 3.1 The Bank requires Applicants to possess a track record of highest standards of integrity and ethics free from any currently subsisting, or prospective, documented/ recorded sanction by any Multilateral Development Agency, any authority in India or any borrower country for collusive, corrupt and / or fraudulent practices. In pursuance of the foregoing, it is strictly forbidden to the parties involved in the current, past or prospective prequalification process, by themselves or by a third party, to offer, ask or accept for itself or for a third party, financial or non-financial advantage or even direct or indirect promise, as offsets for prequalification, if susceptible of being qualified as criminal or unlawful acts in accordance with the extant laws or procedures.
- 3.2 In pursuance of article ITA 3.1 above, Applicants shall permit the Bank to inspect all accounts, records and other documents relating to the submission of the Application, bid submission (in case prequalified), and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.

- 3.3 If, in accordance with the administrative procedures of the Bank, it is demonstrated that an Applicant in this prequalification process, or during the subsequent bidding for the contract(s) has committed collusive, corrupt, fraudulent, or unethical practices, the Bank, inter alia, shall:
- (a) reject any Application for pre-qualification or proposal to award a contract in connection with the subsequent procurement process, as applicable; and/or
 - (b) declare an Applicant involved in collusive, corrupt practices, temporarily or permanently, ineligible to be awarded future contracts under Bank funding.
- 4. Eligibility of Applicants**
- 4.1 This prequalification exercise is open to only Indian Applicants in accordance with the provisions of ITA 4.4. Any form of association by the Applicant with ineligible entities either during this prequalification process or subsequent bidding process may be liable for rejection.
- 4.2 For the purpose of applying the eligibility criteria listed in this article 4, "Applicant" would include the single entity or in case of a joint venture ("JV"), each member of the JV, involved or intended to be involved with this prequalification process (as mentioned in Form A.1.2 Applicant's/ JV Member's Information Form), for any part of the prospective contract(s) including related services.
- 4.3 An Applicant may be a single entity or a combination of entities in the form of a JV either existing or with the intent to enter into a JV supported by a letter of intent or JV Agreement listing out the names of all the JV members. In the case of a JV, all members shall be jointly and severally liable for the execution of the subsequent contract(s) in accordance with the respective contract terms. The JV shall be represented by an authorized representative who shall have the authority from all members of the JV so as to conduct all business for and on behalf of the JV during the prequalification process. The limit on the number of members in a JV would be as specified in the **DS**.
- 4.4 This prequalification exercise is open to only Indian Applicants. An Applicant shall be deemed to be Indian if the Applicant is constituted, incorporated or registered in, and operates in accordance with the provisions of the laws of India, as evidenced by its articles of incorporation and its registration documents, as the case may be.
- 4.5 An Applicant that has been debarred/ sanctioned in pursuance of ITA 3.1, including debarment/ sanction by any borrowing government procuring entity/ corporation or Multilateral Development Agencies (MDA) in accordance with extant rules and procedures, shall be ineligible to be prequalified, during such period of time as the Bank/ sanctioning authority shall have determined. Subsequent to the deadline for Application

submission, in case the Applicant is debarred/sanctioned/blacklisted on or before inclusion of contract under the LOC, the Applicant shall immediately inform Exim Bank of such debarment/sanction and reasons thereof.

- 4.6 The list of debarred firms and individuals by certain leading MDAs is available as specified in the **DS**. This may not be an exhaustive list of debarred entities but those which are made available centrally on the respective MDA's website. Additionally, there could be lists of debarred entities issued by various government departments/ procuring entities/ corporations and maintained offline.
- 4.7 An Applicant shall be ineligible to be prequalified if it has defaulted on any loan to any Bank/ Financial Institution (FI) as per Central Repository of Information on Large Credits (CRILC) database or otherwise and its account has been classified as Non-Performing Asset (NPA) with any Bank/FI or their companies/promoters/directors appear in Reserve Bank of India (RBI) Caution List, RBI Wilful Defaulter List (Suit filed as well as non-suit filed) or Credit Information Bureau India Ltd. (CIBIL) Defaulter List, updated from time to time. On being included in any of the above lists post the prequalification process, the Applicant shall immediately inform Exim Bank on the inclusion and reasons for inclusion thereof.
- 4.8 An Applicant shall furnish such evidence of eligibility satisfactory to the Bank, as the Bank shall reasonably request.

B. Composition of the Application Document

5. Contents of this Document

- 5.1 This Application Document consists of the Parts indicated below, and which should be read in conjunction with any Corrigendum issued in accordance with ITA 7.
- Part I. Scope of Consultancy Services
 - Part II. Instructions to Applicants (ITA)
 - Part III. Data Sheet (DS) to ITA
 - Part IV Prequalification Criteria and Requirements
 - Part V. Forms
 - Part VI. Questionnaire for Applicants
- 5.2 Unless obtained directly from the Bank, the Bank shall not be responsible for the completeness of the document, responses to requests for clarification, or Addenda to the Application Document in accordance with ITA 7. In case of any discrepancies, documents issued directly by the Bank shall prevail.

- 5.3 An Applicant is expected to study all instructions, and forms in the Application Document and to furnish with its Application all information or documentation as is required by the Application Document.

6. Clarifications

- 6.1 A prospective Applicant requiring any clarification of the Application Document shall contact the Bank in writing at the Bank's address indicated in the **DS**. The Bank will respond in writing to any request for clarification provided that such request is received no later than fourteen (14) days prior to the deadline for submission of the applications. The Bank's response, at its discretion, may be put up on its website, and shall include a description of the inquiry (without identifying its source) and corresponding clarification. As a result of a clarification the Bank may, if necessary, amend the Application Document in accordance with the provisions of ITA 7.
- 6.2 Any modification to the Application Document that may become necessary as a result of the clarifications to the queries shall be made by the Bank exclusively through the use of a Corrigendum pursuant to ITA 7.

7. Corrigendum of Application Document

- 7.1 At any time prior to the deadline for submission of Applications, the Bank may amend the Application Document by issuing a Corrigendum.
- 7.2 Any Corrigendum or Addenda issued shall be deemed to be part of the Application Document and shall be published on the Bank's website.
- 7.3 Post Corrigendum, in order to allow sufficient time to the prospective Applicants in preparing their Applications, or for other good reason, the Bank may, at its discretion, extend the deadline for the submission of Applications in accordance with ITA 16.2.

C. Preparation, Submission and Opening of Applications

8. Cost towards Application

- 8.1 The Applicant shall bear all costs associated with the preparation and submission of its Application. The Bank will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the prequalification process.

- 9. Language** 9.1 The Application documentation and printed literature that are part of the Application, if in another language, shall be accompanied by an accurate translation of the relevant passages in English language, which shall be the governing language.
- 10. Documents constituting the Application** 10.1 The Application shall comprise the following:
- (a) Application Submission Form, in accordance with ITA 11.1;
 - (b) documentary evidence establishing the Applicant's eligibility, in accordance with ITA 12.1;
 - (c) documentary evidence establishing the Applicant's qualifications, in accordance with ITA 13; and
 - (d) any other document required as specified in the **DS**.
- 11. Application Submission Form** 11.1 The Applicant shall complete an Application Submission Form as provided in Part V (Forms). This Form must be completed without any alteration to its format.
- 12. Documents Evidencing the Applicant's Eligibility** 12.1 To establish its eligibility in accordance with ITA 4, the Applicant shall complete the eligibility declarations in the Application Submission Form and Forms A.1.1 and A.1.2, included in Part V (Forms).
- 13. Documents Evidencing the Applicant's Qualifications** 13.1 To establish its qualifications in accordance with Part IV, Prequalification Criteria and Requirements, the Applicant shall provide the information requested in the corresponding Forms included in Part V without any alteration to the format. Applicant shall also complete the Questionnaire included in Part VI without any alteration to the questions. Each Form included in Part V and the Questionnaire in Part VI shall be duly signed by the authorized representative of the Applicant. In case of JV, authorized representative of the respective member shall sign. Non compliance with this requirement may result in summary rejection of the Application.
- 13.2 Wherever a monetary amount is to be stated, Applicants should indicate the USD equivalent using the rate of exchange determined as follows:
- (a) Exchange rates shall be taken from the publicly available source identified in the **DS**. Any error in determining the exchange rates in the Application may be corrected by the Bank during evaluation;
 - (b) For data related to financial statements, the amounts shall be mentioned in Indian Rupees (INR). Equivalent amount in USD shall be arrived at using the exchange rate as on 31st March of respective financial year as specified in the **DS**;
 - (c) for data related to contracts signed in the current financial year,

unless otherwise specified in the DS, the exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall be used to arrive at the USD equivalent as specified in the **DS**; and

- (d) for contracts signed prior to the current financial year, the exchange rate as on 31st March of the respective financial year in which the contract was signed shall be used to arrive at the USD equivalent as specified in the **DS**.

- | | |
|--|--|
| 14. Authorized Signatory and Number of Copies | 14.1 The Applicant shall prepare one original of the documents comprising the Application as described in ITA 10 and clearly mark it "ORIGINAL". The original of the Application shall be typed or written in indelible ink and shall be signed by a person duly authorized to sign on behalf of the Applicant. In case the Applicant is a JV, the Application shall be signed by all members of the JV. |
| 15. Preparing the Application Envelope | <p>15.1 The Applicant shall enclose the original Application in a sealed envelope that shall:</p> <ul style="list-style-type: none">(a) be addressed to the Bank, as per ITA 16.1;(b) mention the name and address of the Applicant; and(c) mention the specific identification of this prequalification process indicated in the DS ITA 2.1. <p>15.2 The Bank will accept no responsibility for not processing any envelope that was not prepared as required in ITA 15.1 above.</p> |
| 16. Application Submission Deadline | <p>16.1 Unless specified otherwise in the DS, Applicants must submit their Applications in dual mode (i.e. on-line as well as off-line). Off-line Applications shall be received by the Bank at the address and no later than the deadline indicated in the DS.</p> <p>16.2 The Bank may, at its discretion, extend the deadline for the submission of Applications by amending the Application Document in accordance with ITA 7.</p> |
| 17. Late Applications | 17.1 Applications received after the deadline for submission of applications shall not be admissible, and if received, shall be returned unopened to the Applicant. |
| 18. Opening of Applications | 18.1 The Bank shall open all Applications at the date, time and place specified in the DS . Applicants' representatives may be present during opening. |

D. Procedures for Evaluation of Applications

19. Evaluation to be Confidential

19.1 Information relating to the Applications, their evaluation and result shall be confidential and will not be disclosed to Applicants or any other person(s) not officially concerned with the prequalification process until the official notification of prequalification results is made in accordance with ITA 25.

19.2 From the deadline for submission of Applications to the time of notification of the results of the prequalification in accordance with ITA 25, any Applicant who wishes to contact the Bank on any matter related to the prequalification process (except as specified in ITA 20.1 below), may do so only in writing. Canvassing in any form will be grounds for disqualification.

20. Clarifications during Evaluation

20.1 During the evaluation of Applications, in case of ambiguity, the Bank may, at its discretion, ask an Applicant for a clarification of its Application, to be submitted within a stated reasonable period of time. Any request for clarification from the Bank and all clarifications from the Applicant shall be in writing. Any clarification submitted by an Applicant that is not in response to a request by the Bank may not be considered.

20.2 If an Applicant does not provide (within the time allowed) clarifications and/or documents requested as per the Bank's request for clarification, its Application shall be evaluated based on the information and documents available at the time of evaluation of the Application.

21. Determination of Responsiveness of Applications

21.1 The Bank may reject any Application which is not responsive to the requirements of the Application Document and may not subsequently be made responsive by correction of the causes of nonresponsiveness or by substitution or resubmission of the Application or part thereof.

E. Evaluation of Applications and Prequalification of Applicants

22. Evaluation of Applications

22.1 The Bank shall use the criteria and requirements defined in Part IV, Prequalification Criteria and Requirements, to evaluate the qualifications of the Applicants, and no other methods, criteria, or requirements shall be used. The Bank reserves the right to waive minor deviations from the prequalification criteria if they do not materially affect the technical capability and financial resources of an Applicant to perform the contract.

22.2 The qualification and experience of sub-consultant(s), if any, proposed by the Applicant will not be considered for evaluation of the Application.

22.3 Only the qualifications of the Applicant, in the capacity as prime consultant / member of JV to the main client, shall be considered. In particular, the qualifications of a parent or subsidiary or other affiliated company of the Applicant in accordance with ITA 4.3 shall not be considered.

22.4 The qualification and experience of the Applicant for execution of contracts in-house or for a parent/ promoter/ group concerns or for Special Purpose Vehicles (SPVs), set up by the Applicant or its group companies, shall not be considered. However, the experience of the SPV can be considered in favour of the Applicant provided it is established through documentary evidence that the SPV was established by the Applicant pursuant to a concession granted by a Project Authority who is unrelated to both the Applicant and the SPV and the Letter of Acceptance of bid / Letter of Award was issued by the Project Authority in favour of the Applicant.

23. Bank's Right to Accept or Reject Applications

23.1 The Bank reserves the right to accept or reject any Application, and to annul the prequalification process and reject all Applications at any time, without thereby incurring any liability to the Applicants.

24. Prequalification of Applicants

24.1 All Applicants whose Applications substantially meet or exceed the specified qualification requirements will be prequalified by the Bank.

**25. Notification of
Prequalification**

25.1 The Bank shall notify the result of the prequalification process through a letter to the prequalified Applicants and to the applicants not meeting the prequalification criteria.

25.2 Applicants that have not been prequalified may write to the Bank no later than 7 calendar days after the date of intimation by the Bank, of the result of prequalification, to request clarifications regarding the grounds on which they were not prequalified.

**26. Subsequent
for Bids**

26.1 The Bank shall forward the list of prequalified firms to the **Invitation** Borrower for subsequent invitation of bids.

Part III. Data Sheet (DS) to ITA	
A. General	
ITA 2.1	<p>The identification of the Invitation for Prequalification (IFP) is: GOILOC-242/GOSL/CS-13</p> <p>The Bank is: Export-Import Bank of India Office Block, Tower 1 7th Floor, Adjacent Ring Road East Kidwai Nagar New Delhi – 110023 Email: eximloc@eximbankindia.in Website: www.eximbankindia.in</p>
ITA 4.3	<p>The lead partner of the JV shall be the one with the highest share in the JV which shall not be less than 26%. The maximum number of other members in the JV shall be such that each of the other members should have at least 20% share. The JV can be either an incorporated JV company or an unincorporated consortium/ association (JVCA) based on a memorandum of understanding. In case of unincorporated JVCA, the share shall be determined based on the share in the proceeds of the contract (in terms of percentage) being bid for. In other words, if prequalified and invited to bid, the share of JV members in the contract in terms of value shall be in the proportion as stated above.</p> <p>The Letter of Intent to enter into a JV or JV agreement should contain, inter alia, the following:</p> <ul style="list-style-type: none"> - Names of the Lead Partner and each of the other members - Percentage share of each JV member - Confirmation of Joint and Several Liability of all members of the JV <p>The JV is permissible at prequalificationstage only. The JV which is prequalified will be sustained for the entire bidding process. JV among prequalified Consultants and non-prequalified Consultants or any other entity is not allowed subsequent to prequalification stage. No change of JV members or change in percentage (%) of share in JV is allowed subsequent to prequalification. A member of JVCA shall not be permitted to participate either in individual capacity or as a member of another JVCA in the same prequalification process.</p> <p>The JVCA shall nominate a Lead Partner who shall have the authority to conduct all business for and on behalf of any and all the partners of the</p>

	<p>JVCA during the prequalification process, tendering process and, in the event the JVCA is awarded the Contract, during contract execution.</p> <p>In the event of award of final contract to any JVCA, all the payments to the JVCA shall be made to the Bank account of the JVCA and not to the account of individual member(s).</p> <p>The Joint Venture Agreement shall in all respect be governed by and interpreted in accordance with Indian Laws.</p>
ITA 4.6	<p>A list of debarred firms and individuals by the World Bank is available on the website: http://www.worldbank.org/debarr</p> <p>The Asian Development Bank is available on the website: http://lnadbg4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&count=999</p> <p>The African Development Bank is available on the website: http://www.afdb.org/en/projects-and-operations/procurement/debarment-and-sanctions-procedures/</p> <p>the European Bank for Reconstruction and Development is available on the website: http://www.ebrd.com/pages/about/integrity/list.shtml</p> <p>the Inter-American Development Bank is available on the website: http://www.iadb.org/en/topics/transparency/integrity-at-the-idb-group/sanctioned-firms-and-individuals,1293.html</p>
B. Contents of the Application Document	
ITA 6.1	<p>For clarification purposes, the Bank's address is:</p> <p>Mr. Ajay Rana Assistant General Manager Export-Import Bank of India Lines of Credit Group Office Block, Tower 1 7th floor, Adjacent Ring Road, Kidwai Nagar (East) New Delhi 110 023 Email: eximloc@eximbankindia.in</p>

Part III. Data Sheet (DS) to ITA

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C. Preparation, Submission & Opening of Applications	
ITA 10.1 (d)	<p>The preparation and submission of Application will be in dual mode i.e. on-line as well as off-line as mentioned in ITA 16.1 below.</p> <p>i) On-line mode of Application The applicant shall submit the application through Exim Bank's portal https://locprocure.eximbankindia.in For details for submitting Online Application, please refer the above portal.</p> <p>Minimum Requirements: 1. Computer/Laptop with Internet connection. 2. Operating System: Windows Version: Windows 7/8/10 – 32 or 64 Bit. 3. Java Version: 1.8 or above 4. Mozilla version should be 45.0 and above(x86 only i.e OS of 32 Bit Version) 5. Digital Certificate: Class III, Signing + Encryption and it should be organizational certificate.</p> <p>For any Online technical clarification, kindly contact: Bob EProcure Pvt. Ltd. 3 / 4, 3rd Floor, Maruthi Towers, Madivala, SBM, Bangalore Karnataka – 560069</p> <p>Contact Person: Ms. Alka Pillai Mob: +91-9148982205 +91-9148998467 Email: pqsupport@bobeprocure.in</p> <p>ii) Off-line mode of Application The applicant shall forward a hard copy of its application along with a covering letter clearly indicating the name of the project and the Prequalification Reference No.</p> <p>The Applicant shall submit with its application, the following additional documents as attachment to the Application Submission Form:</p> <p>The Applicant shall submit a copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorized, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant. Copy (self-attested) of such relevant company Board Resolution or equivalent document should also be attached.</p>

	<p>In case the Applicant is a JV, the Applicant shall submit a copy (self-attested on all pages) of Powers of Attorney for each member of the JV along with a copy (self-attested) of relevant Board Resolutions or equivalent documents.</p> <p>Note: It is mandatory for Applicants to submit the Application in both On-line and Off-line modes. Any Application not submitted in accordance with the requirements mentioned in this clause will be liable for rejection. In the event of any discrepancy in Application submitted On-line and Off-line, the information submitted in the hard copy (Off-line submission) will prevail.</p>																											
ITA 13.2 (a)	<p>The source for determining exchange rates is: For conversion of foreign currency / Indian rupees (INR) to US Dollar, the Applicants shall use the Reference Rates of Foreign Currency published by Financial Benchmark India Private Ltd (FBIL) (https://www.fbil.org.in/)</p> <p>In case a particular currency rate is not published by FBIL, then the selling rate of such currency shall be taken from the following website: http://www.oanda.com</p>																											
ITA 13.2 (b) & (d)	<p>Applicants shall use the following rates for conversion between USD and INR:</p> <table><tr><td></td><td>USD 1 = INR</td><td>1 INR = USD</td></tr><tr><td>31-Mar-11</td><td>44.6500</td><td>0.0224</td></tr><tr><td>31-Mar-12</td><td>51.1565</td><td>0.0195</td></tr><tr><td>31-Mar-13</td><td>54.3893</td><td>0.0184</td></tr><tr><td>31-Mar-14</td><td>60.0998</td><td>0.0166</td></tr><tr><td>31-Mar-15</td><td>62.5908</td><td>0.0160</td></tr><tr><td>31-Mar-16</td><td>66.3329</td><td>0.0151</td></tr><tr><td>31-Mar-17</td><td>64.8386</td><td>0.0154</td></tr><tr><td>31-Mar-18</td><td>65.0441</td><td>0.0154</td></tr></table>		USD 1 = INR	1 INR = USD	31-Mar-11	44.6500	0.0224	31-Mar-12	51.1565	0.0195	31-Mar-13	54.3893	0.0184	31-Mar-14	60.0998	0.0166	31-Mar-15	62.5908	0.0160	31-Mar-16	66.3329	0.0151	31-Mar-17	64.8386	0.0154	31-Mar-18	65.0441	0.0154
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31-Mar-17	64.8386	0.0154																										
31-Mar-18	65.0441	0.0154																										
ITA 13.2 (c)	<p>Applicants shall use the following rates for conversion between USD and INR:</p> <table><tr><td>USD 1 = INR 69.6574</td><td>1 INR = USD 0.0144</td></tr><tr><td>November 30, 2018</td><td>November 30, 2018</td></tr></table>	USD 1 = INR 69.6574	1 INR = USD 0.0144	November 30, 2018	November 30, 2018																							
USD 1 = INR 69.6574	1 INR = USD 0.0144																											
November 30, 2018	November 30, 2018																											
ITA 14.1	<p>Additionally, one (1) copy in pen drive shall also be submitted.</p> <p>The prequalification application document (off line version) shall be submitted in spiral or hard bound form only and not as loose sheets in plastic folders. All the pages shall be machine numbered and a table of contents shall be included</p>																											

	in the beginning of each volume of documents referring the page numbers of the indexed items.
ITA 16.1	<p>Submission of Application is required in dual mode i.e. on-line as well as off-line as mentioned in ITA 10.1 (d).</p> <p>The deadline for Application submission is:</p> <p>Date: December 31, 2018</p> <p>Time: 15:00 hrs</p> <p>For off-line Application submission purposes only, the Bank's address is:</p> <p>Bank's address is the same as that indicated in ITA 2.1</p> <p>Attention: <i>Mr.Ajay Rana, Assistant General Manager</i></p>
ITA 18.1	<p>The opening of the Applications shall be at the Bank's address as that indicated in ITA 2.1</p> <p>Date: December 31, 2018</p> <p>Time: 15:30 hrs</p>

Part IV. Prequalification Criteria and Requirements

This Part contains all the criteria, requirements and procedures that the Bank shall use to evaluate Applications. The information to be provided in relation to each requirement and the definitions of the corresponding terms can be referred to in the respective Forms.

Contents

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C.	Financial Status and Capacity	32
D.	Experience	33

A. General

A.1 Nationality	
Requirement	<ul style="list-style-type: none"> • The Applicant's Nationality shall be in accordance with ITA 4.4 • Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted	Form A.1.1 and A.1.2
Attachments to be submitted	<ul style="list-style-type: none"> ➤ Articles & Memorandum of Association, Certificate of Incorporation/ Partnership Deed of the Applicant (and each of the JV members) in accordance with ITA 4.4 ➤ In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.3 and documents as above for each member of the JV

A.2. Eligibility	
Requirement:	<ul style="list-style-type: none"> • The Applicant shall not be under declaration as ineligible, as described in ITA 4.5 and ITA 4.7 • Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted:	Application Submission Form
Attachments	<ul style="list-style-type: none"> ➤ The Applicant shall submit a copy [self-attested on all pages]of Power of Attorney in favour of the person who has been authorized, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant. A copy [self-attested]of such relevant company Board Resolution or equivalent document should also be attached. ➤ In case the Applicant is a JV, the Applicant shall submit a copy [selfattested on all pages]of Power of Attorneys for each member of the JV along with copy [self-attested]of relevant Board Resolutions or equivalent documents. ➤ For an Applicant as a single entity or in case of JV, for each member: <ul style="list-style-type: none"> ○ Permanent Account Number [PAN]: Self attested copy ○ TIN& GST Registration details, as applicable: Self attested copy

B. Past Contract Performance and Litigation

B.1 Past Contract Non-performance	
Requirement:	<ul style="list-style-type: none"> There shall be no instance of contract¹ non-performance as a result of Applicant's default since November 01, 2013 (In case of JV, each member shall meet the requirement). The Applicant shall inform Exim Bank of any such instances post submission of the Prequalification Application and on or before inclusion of contracts under LOC. Documentation and Attachments to be submitted as mentioned below:
Documentation to be submitted:	Form B.1.1
Attachments to be submitted:	Documents establishing details included in Form B.1.1

B.2 Pending Contract Litigation	
Requirement:	<ul style="list-style-type: none"> Applicant shall have a positive* adjusted net worth determined as per the latest audited financial statements for the financial year (FY 2017-18) and the contractual litigation value as considered below net of provision made in the audited financial statements for FY 2017- 18: <ul style="list-style-type: none"> Litigation value shall be deemed to be 25% of the aggregate value pending litigation across all contracts and net of provisions, this value shall be deducted from the net worth to arrive at the adjusted net worth. ➤ Documentation and Attachments to be submitted as mentioned below. ➤ In case of JV, each member shall meet the requirement. <p><i>*Note: Networth – [25% of Litigation Value – provisions already made] = positive</i></p>
Documentation to be submitted:	Form B.2.1
Attachments to be submitted:	Documents establishing details included in Form B.2.1

B.3 Contract Litigation History	
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¹Contract non-performance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the Applicant (each member in case of JV) have been exhausted.

Part IV. Prequalification Criteria and Requirements

Requirement:	<ul style="list-style-type: none"> The aggregate amount of court/arbitration awards against the Applicant², if any, since November 01, 2013 shall not exceed 25% of net worth as per the latest financial statements. (In case of JV, each member shall meet the requirement.) Documentation and Attachments to be submitted as mentioned below:
Documentation to be submitted:	Form B.3.1
Attachments to be submitted:	Documents establishing details included in Form B.3.1

C. Financial Status and Capacity

C.1 Financial Status	
Requirement:	<p>(i) The audited balance sheets and profit & loss account/ annual report for the last 3 financial years (FY 2015-16 to FY 2017-18) shall be submitted and must demonstrate the current soundness of the Applicant's financial position and indicate its prospective long-term profitability in terms of:</p> <ol style="list-style-type: none"> Positive net worth for each of the last three (3) financial years defined above; Profit (i.e. Profit Before Tax) for at least one (1) out of last three (3) financial years defined above and; Annual Consultancy Revenue in any one of the last three (3) financial years defined above, be not less than USD 266,667. <p>In case of JVCA, requirement (a) and (b) above shall be met by each member and requirement under (c), each member shall meet 25%, lead member shall meet 40% and all members together shall meet 100%.</p> <p>(ii) Documentation and Attachments to be submitted as mentioned below:</p>
Documentation to be submitted:	Forms C.1.1 and Form C.1.2 both certified by the Statutory Auditor of the Applicant (in case of JV, for each member of the JV).
Attachments to be submitted:	<p>The Applicant and its parties shall provide copies of audited financial statements for three (3) years as defined above. The financial statements shall:</p> <ul style="list-style-type: none"> ➤ reflect the financial situation of the Applicant or in case of JV for each member, and not an affiliated entity (such as parent company or group member).

²The Applicant (each member in case of JV) shall provide accurate information on the related Application Form about any litigation or arbitration resulting from contracts completed or ongoing under its execution over the last five years.

	<ul style="list-style-type: none"> ➤ be independently audited and certified by the Statutory Auditor/ Chartered Accountant in accordance with applicable legislation. ➤ be complete, including all notes to the financial statements. ➤ correspond to accounting periods already completed and audited. ➤ Supporting documents issued by the Banks for additional financial means for likely future commitments to be attested by the respective banks. These documents shall be of latest available date and shall be valid beyond the last date of submission of the PQ Application.
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D. Experience

D.1 General Experience	
Requirement:	<ul style="list-style-type: none"> • Experience under PMC/ Lender's Engineer/ Owner's Engineer/ Supervision Engineer Contracts related to Railway sector (Railway workshop project including all required machinery and equipment for the heavy overhaul of locos and DMU) in the role of Prime Consultant or JV member to the main client, in India, during the last 7 years, starting November 01, 2011 and up to application submission deadline. <p>(In case of JV, each member shall meet the requirement.)</p> <ul style="list-style-type: none"> • Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted:	Form D.1.1
Attachments to be submitted:	<p>Final Acceptance Certificate/ Completion Certificate / Testimonial Letters issued by the Project Authority for each contract listed in Form D.1.1 giving, inter alia, details of scope and value of work executed by the Applicant, contract start and completion dates.</p> <ul style="list-style-type: none"> ➤ In case the contracts listed in D.1.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV to substantiate Individual JV member's delineated roles, responsibilities and scope and value of work.

	➤ Subcontractors' experience and resumes, if any, submitted with the application shall not be taken into account in determining the Applicant's compliance.
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D.2 Specific Experience																			
Requirement:	<p>(i) At least the number and value of similar contracts <u>supervised</u> as mentioned below, demonstrating experience as a Consultant for Railway / Engineering Workshop projects covering, inter alia, design, supervision aspects that have been satisfactorily completed as a prime consultant, or joint venture member to the main client, between November 01, 2011 and application submission deadline:</p> <table><tr><td></td><td>Nos of Contracts</td><td>Value³ of each Contract (USD)</td></tr><tr><td>Option I</td><td>3</td><td>2,400,000</td></tr><tr><td colspan="3">OR</td></tr><tr><td>Option II</td><td>2</td><td>3,000,000</td></tr><tr><td colspan="3">OR</td></tr><tr><td>Option III</td><td>1</td><td>4,800,000</td></tr></table> <p>In case of JVCA, requirement shall be met by the JVCA on a combined basis i.e. contract values of each member shall not be aggregated but number of contract(s) by individual members meeting the value and technical aspects can be aggregated to meet the requirement on number of contracts.</p> <p>In addition to the above, each member of JVCA shall demonstrate experience of at least one similar contract of 50% of the value indicated under Option I above.</p> <p>In case, completed project has been done by an Applicant as JV/ Consortium/ JVCA, credential for same shall be considered on basis of percentage share of the consultant in that project.</p> <p>Subconsultant's experience and resumes, if any, submitted with the Application, will not be taken into account in</p>		Nos of Contracts	Value³ of each Contract (USD)	Option I	3	2,400,000	OR			Option II	2	3,000,000	OR			Option III	1	4,800,000
	Nos of Contracts	Value³ of each Contract (USD)																	
Option I	3	2,400,000																	
OR																			
Option II	2	3,000,000																	
OR																			
Option III	1	4,800,000																	

³ In case of contracts in INR, the exchange rate of 31 March of the FY in which the contract was signed, shall be used to arrive at the USD equivalent

Part IV. Prequalification Criteria and Requirements

	determining the Applicant's compliance. (ii) Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted:	Form D.2.1
Attachments to be submitted:	Final Acceptance/ Completion Certificate/ Testimonial issued by the employer for each contract listed in Form D.2.1 pursuant to Requirements (i) and (ii) mentioned above.

Part IV. Prequalification Criteria and Requirements

NOTE:

The Evaluation Criteria for Prequalification of Applicants

	Sr. No.	Description	Remarks
	A.	General	Evaluation on Pass/ Fail basis
	B.	Past Contract Performance and Litigation	Evaluation on Pass/ Fail basis
	C.	Financial Status and Capacity	Evaluation on Pass/ Fail basis
	D.	Experience	Evaluation on Pass/ Fail basis

Part V. Forms

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Application Submission Form

Date: *[insert day, month, and year]*
IFP No. and title: *[insert IFP number and title]*

To: *[insert full name of Bank]*

We, the undersigned, apply to be prequalified for the referenced IFP and declare that:

- (a) We have examined and have no reservations to the Application Document, including Corrigendum No(s)._____, issued in accordance with Instructions to Applicants (ITA) 7: *[insert the number and issuing date of each corrigendum or "nil" if no corrigendum is issued]*.
- (b) We meet the eligibility requirements as stated in ITA 4.1, we have not been currently debarred/ sanctioned in accordance with ITA 4.5; Subsequent to the deadline for Application submission, in case we are debarred/sanctioned/ blacklisted, we shall immediately inform Exim Bank of such debarment/sanction/blacklisting and reasons thereof, in accordance with ITA 4.5, on or before the inclusion of the contract under the LOC and also during the execution of the contract, if awarded;
- (c) We confirm that we have not defaulted in any loan to any Bank/FI and our account has not been classified as Non-Performing Asset (NPA) with any Bank/FI. We further confirm that none of our companies/promoters/directors appear in RBI Caution List, RBI Willful Defaulter List (Suit filed as well as non-suit filed) and CIBIL Defaulter List, updated from time to time. On being included in any of the above lists, we shall immediately inform Exim Bank on the inclusion and reason for inclusion thereof, in accordance with ITA 4.7;
- (d) We understand that you may cancel the prequalification process at any time and that you are neither bound to accept any Application that you may receive nor to invite the prequalified Applicants to bid for subsequent contract(s) subject to this prequalification process, without incurring any liability to the Applicants, in accordance with ITA 23.1.
- (e) We hereby confirm that we have not appointed any agent and we have not paid any agency commission for this Pre qualification process. If prequalified, we also confirm that we will not appoint any agent and nor will we pay any agency commission for the corresponding tendering process or execution of the contract.
- (f) We further declare that we are / are not facing any investigation by any Government procuring entity/ corporation or Multilateral Development Agencies (MDA). (If yes, please provide details in a separate sheet, as necessary.)
- (g) All information, statements and description contained in the Application are in all respect true, correct and complete to the best of our knowledge and belief. We understand that misrepresentation of facts in our Application and contravention to ITA 3, inter alia, may lead to rejection of our Application/ cancellation of prequalification.

Signed *[insert signature(s) of an authorized representative(s) of the Applicant]*

Part V. Forms

Name [insert full name of person(s) signing the Application]

In the capacity of [insert capacity of person(s) signing the Application]

Address [insert street number/town or city/country address]

Dated on [insert day number] day of [insert month], [insert year]

[For a joint venture, all members shall sign. Failure to comply with this requirement may result in rejection of Application]

Encl: Checklist of forms and documents

Checklist for Various Forms and Documents to be submitted

Form No.	Details of Forms and Documents	Page no.
A.1.1	Applicant Information Form	
	1. Articles & Memorandum of Association	
	2. Certificate of Incorporation (or equivalent documents of constitution or association), and/or documents of registration	
	3. PAN and GST Registration Details	
	4. Letter of intent to form JV or JV agreement, in case of JV	
	5. Organizational chart	
	6. List of Board of Directors with their complete designation in case of nominee directors	
	7. The beneficial ownership with respective shareholding and nationality of shareholders	
	8. A copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorised, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant	
	9. A copy of relevant Company Board Resolution referred to in item No. 8 above	
A.1.2 *	Applicant's JV Member's Information Form [in case Applicant is a JV]	
*	1. Articles & Memorandum of Association of each of the JV Member	
*	2. Certificate of Incorporation (or equivalent documents of constitution or association), and/or documents of registration, of each of the JV Member	
*	3. PAN and GST Registration Details of each of the JV Member	
*	4. Organizational chart of each of the JV Member	
*	5. List of Board of Directors with their complete designation in case of nominee directors of each of the JV Member	
*	6. The beneficial ownership with respective shareholding and nationality of shareholders of each of the JV Member	
*	7. A copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorised, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant	
*	8. A copy of relevant Company Board Resolution referred to item No. 7 above.	
B.1.1*	Non-Performed Contracts	
*	1. Documents establishing details included in Form B.1.1	
B.1.2 *	Pending Litigation	
*	1. Documents establishing details included in Form B.2.1	

B.1.3 *	Litigation History	
*	1. Documents establishing details included in Form B.3.1	
C.1.1 *	Financial Status & Capacity, certified by the Statutory Auditor of the Applicant	
*	Sources of Finance	
*	Audited Annual Reports for the last 5 years	
C.1.2 *	Annual Turnover, certified by the Statutory Auditor of the Applicant	
D.1.1 *	General Experience	
*	1. Final Acceptance Certificate/ Completion Certificate/ Testimonial Letters issued by the employer for each contract listed in Form D.1.1	
*	2. In case the contracts listed in D.1.1 are executed by the Applicant through an SPV under a concession agreement, either singly or in joint venture, the following additional documents/information should be submitted: a. Copy of Letter of Acceptance of the bid issued by the Concession Granting Authority in favour of the Applicant or a JV comprising the Applicant; b. Copy of Concession Agreement indicating the shareholding structure of the SPV establishing that the SPV is wholly held by the Applicant or by a JV comprising the Applicant provided the Letter of Acceptance of bid by the Concession Authority is issued in favour of the JV comprising the Applicant.	
*	3. In case the contracts listed in D.1.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV to substantiate Individual JV member's delineated roles and responsibilities and scope and value of work.	
D.2.1 *	Specific Experience	
*	1. Final Acceptance Certificate/ Completion Certificate/ Testimonial Letters issued by the employer for each contract listed in Form D.2.1	
*	2. In case the contracts listed in D.2.1 are executed by the Applicant through an SPV under a concession agreement, either singly or in joint venture, the following additional documents/information should be submitted: a. Copy of Letter of Acceptance of the bid issued by the Concession Granting Authority in favour of the Applicant or a JV comprising the Applicant; b. Copy of Concession Agreement indicating the shareholding structure of the SPV establishing that the SPV is wholly held by the Applicant or by a JV comprising the Applicant provided the Letter of Acceptance of bid by the Concession Authority is issued in favour of the JV comprising the Applicant.	
*	In case the contracts listed in D.2.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV to substantiate Individual JV member's delineated roles and	

Part V. Forms

	responsibilities and scope and value of work.	
Part VI. *	Questionnaire for Applicants	

Note : i. Please insert page numbers

ii. Documents marked '*' to be submitted for each JV member separately.

Form A.1.1

Applicant Information Form

(to be filled by Applicant if being a Single Entity or as Lead member of JV)

Date: *[insert day, month, year]*

IFP No. and title: *[insert IFP number and title]*

Page *[insert page number]* of *[insert total number]* pages

<p>Applicant's name <i>[insert full name]</i></p>
<p>In case of Joint Venture (JV), name of each member: <i>[insert full name of each member in JV]</i></p>
<p>Applicant's country* of registration: <i>[indicate country of Constitution]</i></p>
<p>Applicant's actual year of incorporation: <i>[indicate year of Constitution]</i></p>
<p>Applicant's legal address [registered in India]: <i>[insert street/ number/ town or city/ country]</i></p>
<p>Applicant's authorized representative information Name: <i>[insert full name]</i> Address: <i>[insert street/ number/ town or city/ country]</i> Telephone/Fax numbers: <i>[insert telephone/fax numbers, including country and city codes]</i> E-mail address: <i>[indicate e-mail address]</i></p>
<p>1. Attached are copies of original documents of</p> <p><input type="checkbox"/> Articles & Memorandum of Association, Certificate of Incorporation (or equivalent documents of constitution or association), and/or documents of registration of the legal entity named above, in accordance with ITA 4.4.</p> <p><input type="checkbox"/> In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.3.</p> <p>2. Included are the PAN, TIN & GST Registration details, organizational chart, a list of Board of Directors with their complete designation in case of nominee directors, and the beneficial ownership with respective shareholding and nationality of shareholders.</p>

* Note: Applicant's attention is drawn to ITA 4.1 pursuant to which this prequalification process is open to only Indian firms.

Form A.1.2

Applicant's/ JV Member's Information Form

[The following form is in addition to Form A.1.1 (in case the Applicant is a JV)], and shall be completed separately to provide information relating to each JV member

Date: *[insert day, month, year]*

IFP No. and title: *[insert IFP number and title]*

Page *[insert page number]* of *[insert total number]* pages

<p>Applicant name:</p> <p><i>[insert full name of the JV]</i></p>
<p>Applicant's JV Member's name:</p> <p><i>[insert full name of Applicant's JV Member]</i></p>
<p>Applicant's JV Member's country* of registration:</p> <p><i>[indicate country of registration]</i></p>
<p>Applicant JV Member's date of constitution:</p> <p><i>[indicate date of constitution in dd/mmm/yyyy]</i></p>
<p>Applicant JV Member's legal address registered in India:</p> <p><i>[insert street/ number/ town or city/ country]</i></p>
<p>Applicant JV Member's authorized representative information</p> <p>Name: <i>[insert full name]</i></p> <p>Address: <i>[insert street/ number/ town or city/ country]</i></p> <p>Telephone/Fax numbers: <i>[insert telephone/fax numbers, including country and city codes]</i></p> <p>E-mail address: <i>[indicate e-mail address]</i></p>
<p>1. Attached are copies of original documents of Articles & Memorandum of Association, Certificate of Incorporation (or equivalent documents of constitution or association), and/or registration documents of the legal entity named above, in accordance with ITA 4.4.</p> <p>2. Included are the PAN, TIN & GST Registration details, organizational chart, a list of Board of Directors, and the beneficial ownership.</p>

* Note: Applicant's attention is drawn to ITA 4.1 pursuant to which this prequalification process is open to only Indian firms

Form B.1.1/ B.2.1/ B.3.1**Past Contract Non-Performance, Pending Litigation and Litigation History**

[Each of the following tables shall be filled in for the Applicant and for each member of a Joint Venture]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member Name: *[insert full name]*

IFP No. and title: *[insert IFP number and title]*

Page *[insert page number]* of *[insert total number]* pages

Information pertaining to: *[Insert name of JV Leader or JV member/s]*

Form B.1.1			
Non-Performed Contracts in accordance with Part IV, Prequalification Criteria and Requirements			
<input type="checkbox"/> Contract non-performance did not occur since the date as specified in Part IV, Prequalification Criteria and Requirements, Sub-Factor B.1.			
<input type="checkbox"/> Contract(s) not performed since the date as specified in Part IV, Prequalification Criteria and Requirements, requirement B.1			
Year	Non-performed portion of contract	Contract Identification	Total Contract Amount (current value, currency, exchange rate and US\$ equivalent)
<i>[insert financial year]</i>	<i>[insert amount and percentage]</i>	Contract Identification: <i>[indicate complete contract name/ number, date, value and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Reason(s) for non-performance: <i>[indicate main reason(s)]</i>	<i>[insert amount in USD equivalent and specify exchange rate and date]</i>

Form B.2.1				
Pending Litigation, in accordance with Part IV, Prequalification Criteria and Requirements				
<input type="checkbox"/> No pending litigation in accordance with Part IV, Prequalification Criteria and Requirements, Sub-Factor B.2				
<input type="checkbox"/> Pending litigation in accordance with Part IV, Prequalification Criteria and Requirements, Sub-Factor B.2 as indicated below.				
Year of dispute	Amount in dispute (currency)	Contract Identification	Total Contract Amount (currency), USD Equivalent (exchange rate)	Amount of specific provision already made, if any
<i>[insert year]</i>	<i>[insert amount]</i>	Contract Identification: [indicate complete contract name, number, date, value and any other identification] Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Matter in dispute: <i>[indicate main issues in dispute]</i> Party who initiated the dispute: <i>[indicate "Employer" or "Consultant"]</i> Status of dispute: <i>[Indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]</i>	<i>[insert amount in equivalent USD, exchange rate and its date]</i>	<i>[insert amount in USD equivalent and specify exchange rate]</i>

Form B.3.1			
Litigation History, in accordance with Part IV, Prequalification Criteria and Requirements			
<input type="checkbox"/> No litigation since the date specified in Part IV, Prequalification Criteria and Requirements, Sub-Factor B.3.			
<input type="checkbox"/> Litigation Awards in accordance with Part IV, Prequalification Criteria and Requirements, Sub-Factor B.3 as indicated below.			
Year of award	Outcome as percentage of Net Worth	Contract Identification	Total Contract Amount (currency), USD Equivalent (exchange rate)
<i>[insert financial year]</i>	<i>[insert percentage]</i>	Contract Identification: <i>[indicate complete contract name, number, date, value and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Matter in dispute: <i>[indicate main issues in dispute]</i> Party who initiated the dispute: <i>[indicate "Employer" or "Consultant"]</i> Result of dispute: <i>[Indicate if resolution was treated by the Adjudicator, under Arbitration or dealt with by the Judiciary and whether resolved in favour or against the Applicant]</i>	<i>[insert amount in equivalent USD, exchange rate and its date]</i>

Form C.1.1
Financial Status and Capacity

[The following table shall be filled in for the Applicant and for each member of a Joint Venture and shall be certified by the Statutory auditor. Failure to comply with this requirement may result in rejection of the Application]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member Name: *[insert full name]*

IFP No. and title: *[insert IFP number and title]*

Page *[insert page number]* of *[insert total number]* pages

Information pertaining to: *[Insert name of JV Leader or JV member/s]*

1. Financial data

Type of Financial information in	Historic information for previous three years (amount in Indian Rupees)		
FY	FY 2015-16	FY 2016-17	FY 2017-18
Sources of Fund			
Share Holder's Fund			
Loan Fund			
Application of Fund			
Fixed Assets			
Investments			
Net Current Assets			
(i) Current assets, loans and advances			
Less: (ii) Current liabilities & provisions			
Misc. exp. to the extent not W/Off or adjusted			
Profit and Loss Account			
Networth			
Networth			
Information from Income Statement			
Income			
Expenditure			
Profit/(Loss) Before Tax (PBT)			
Profit/(Loss) After Tax (PAT)			

2. Financial documents

The Applicant and its parties shall provide copies of audited financial statements for last three years [FY 2015-16 to FY 2017-18] pursuant to Part IV, Prequalification Criteria and Requirements, Sub-factor C.1. The financial statements shall:

- (a) reflect the financial situation of the Applicant or in case of JV for each member, and not an affiliated entity (such as parent company or group member).
- (b) be independently audited or certified in accordance with local legislation.
- (c) be complete, including all notes to the financial statements.
- (d) correspond to accounting periods already completed and audited.

- ☐ Attached are copies of financial statements for the **three** years required above; and complying with the requirements.
- ☐ Please note that printed Audited Annual Reports are to be certified by the Statutory Auditors duly signed and stamped.

Form C.1.2**Annual Consultancy Turnover**

[The following table shall be filled in for the Applicant and for each member of a Joint Venture and shall be certified by the Statutory Auditor. Failure to comply with this requirement may result in rejection of the Application]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member Name: *[insert full name]*

IFP No. and title: *[insert IFP number and title]*

Page *[insert page number]* of *[insert total number]* pages

Information pertaining to : *[Insert name of JV leader or JV member/s]*

	Annual Consultancy Revenue Data						
Year	Consultancy Revenue Amount (INR)			Total Turnover of the Applicant	Consultancy Turnover as % of Total Turnover	Exchange rate* (v/s USD)	USD equivalent
	Value of Consultancy Contracts executed in India	Value of Consultancy Contracts executed outside India	Total value of Consultancy Contracts executed				
	[A]	[B]	C = [A+B]	[D]	C/D*100	[E]	C/E
2015-2016							
2016-2017							
2017-2018							

* Refer ITA 13.2 for source of exchange rate. Exchange rate prevalent on 31st March shall be used to calculate revenue for respective financial year.

Form D.1.1

General Experience

[The following table shall be filled in for the Applicant and in the case of a JV Applicant, each Member]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member Name: *[insert full name]*

IFP No. and title: *[insert IFP number and title]*

Page *[insert page number]* of *[insert total number]* pages

Information pertaining to: *[Insert name of JV leader or JV member/s]*

[List contracts that demonstrate experience in India pursuant to Part IV, Prequalification Criteria and Requirements, Sub-Factor D.1. List contracts chronologically, according to their commencement (starting) dates and attach Final Acceptance Certificates.]

Contract Identification	Start Date	Initial Contractual End Date	Actual Completion Date and Reasons for delay, if any	Role of Applicant
Contract name: <i>[insert full name]</i> Brief Description of the works performed by the Applicant: <i>[describe works performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i>	<i>[indicate date as dd/mm/yyyy]</i>	<i>[indicate date as dd/mm/yyyy]</i>		<i>[insert "Prime Consultant" or "JV Member"]</i>

* Refer ITA 13.2 for date and source of exchange rate

Final Acceptance Certificate/ Completion Certificate / Testimonial Letters issued by the employer to be attached for each contract, in an orderly fashion.

Form D.2.1**Specific Experience**

[The following table shall be filled in for contracts completed by the Applicant, and each member of a Joint Venture, as applicable, pursuant to Part IV, Pre-qualification Criteria and Requirements, Sub-Factor D.2.]

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member Name: *[insert full name]*

IFP No. and title: *[insert IFP number and title]*

Page *[insert page number]* of *[insert total number]*

pages Information pertaining to : *[Insert name of JV leader or JV member/s]*

Information

Similar Contract No.	<i>[insert number] of [insert number of similar contracts required]</i>		
Contract Identification/ Title	<i>[insert contract name and number, if applicable]</i>		
Contract date	<i>[dd/mmm/yyyy]</i>		
Completion date	Contractual: <i>[dd/mmm/yyyy]</i>	Actual: <i>[dd/mmm/yyyy]</i>	
Role in Contract <i>[check the appropriate box]</i>	Prime Consultant <input type="checkbox"/>		Member in JV <input type="checkbox"/>
Total Contract Amount	<i>[insert total contract amount in contract currency]</i>		US\$ <i>[insert Exchange rate and total contract amount in US\$ equivalent]*</i>
If member in a JV, specify participation in total Contract amount	<i>[insert percentage amount]</i>	<i>[insert total contract amount in local currency]</i>	<i>[insert exchange rate and total contract amount in US\$ equivalent]*</i>
Employer Details	Employer's Name: Address: Telephone, fax number, E-mail:		
Brief Scope of the Services as per Contract			
Narration of the Actual Services Rendered			

Part VI. Questionnaire for Applicants

Key Staff Positions and Names of Staff	
Total Staff Months by your firm	
Total Staff Months by Associate firm (if applicable)	

* Refer ITA 13.2 for date and source of exchange rate.

Final Acceptance Certificate/ Completion Certificate / Testimonial Letters issued by the employer to be attached for each contract, in an orderly fashion

Part VI. Questionnaire for ApplicantsName of Applicant: *[In case of JV, to be filled in each partner separately]*IFP No.: *[insert IFP No.]*

<u>Eligibility, Confirmation and Other Important Information</u>	<u>Response*</u>
1. Is your firm, either singly or in joint venture currently empanelled or prequalified as a PMC. If yes, please provide details of Client, Country and Scope of PMC. Attach additional sheets, if needed.	Confirm: Yes___/No ____
2. Export-Import Bank of India (Bank) requires that Applicants and their affiliates observe the highest standard of ethics during the selection and execution of contracts. In this context, any action taken by an Applicant or its affiliate to influence the prequalification process for undue advantage is improper. Confirm that Applicant and its JV partners, if applicable, have not engaged in any unethical practices in competing for this prequalification.	Confirm: Yes___/No ____
3. Confirm that no official of the Bank has received or will be offered by your firm/organization or agents, any direct or indirect benefit arising from this prequalification or any resulting contracts.	Confirm: Yes___/No ____
4. Has your firm been suspended or debarred by any Multilateral Agency, or any government, or a UN agency? If Yes, provide details, including date of reinstatement, if applicable. Attach additional sheets, if needed.	Yes___/No ____
5. Has your firm/organization ever filed or petitioned for bankruptcy? (If Yes, furnish details of the case including filing date and current status.). Attach additional sheets, if needed.	Yes___/No ____
6. Has your firm/ any JV partner been penalized for delay in contractual performance in the last 5 years prior to Application submission deadline. If Yes, please provide details in a separate sheet, as necessary.	Yes___/No ____
7. Has there been a termination of your firm's services for non-performance on a contract in the last 5 years prior to the month preceding the month of Application Submission Deadline? If Yes, please describe in detail in a separate sheet, as necessary.	Yes___/No ____
8. If prequalified and subsequently awarded a contract by the Borrower Government, would your firm/ JV be willing (i) to work in accordance with the Borrower country laws and regulations (ii) to submit requisite securities as per contract conditions (iii) to be responsible for the performance of the work executed by your firm (iv) to allow scrutiny of your work, related accounts, documentation by the Borrower/ Bank/ Government of India	Confirm: Yes___/No ____ Yes___/No ____ Yes___/No ____ Yes___/No ____
9. Please confirm that you agree to the provisions of the Government of India guidelines dated 7th December 2015 on IDEAS Lines of Credit	Confirm: Yes___/ No ____

* Note: To confirm, print "Yes"

Part VI. Questionnaire for Applicants

(Signature)

[Name of Authorized Signatory]

[Title] and Authorized Signatory

Date: