

Application Document

For

PREQUALIFICATION OF ENGINEERING,
PROCUREMENT AND CONSTRUCTION (EPC)
CONTRACTORS FOR NINETEEN MULTI-
VILLAGE DRINKING WATER SUPPLY SYSTEMS
(MVWSS) IN BENIN

Export-Import Bank of India
Date: June 1, 2020

**INVITATION FOR PREQUALIFICATION OF EPC CONTRACTORS FOR
GOVERNMENT OF INDIA LINE OF CREDIT (LOC) PROJECT**

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, consultancy and non-consultancy 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. 21/3/2015-IDEAS dated December 7, 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 to the above, the Bank invites Applications from eligible Indian entities for prequalification of Engineering, Procurement and Construction (EPC) Contractors for nineteen multi-village drinking water supply systems (MWSS) in Benin.

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	Export-Import Bank of India
[iv]	Account No.	HO00INR11011004
[v]	IFSC Code	EIBI0HO0001
[vi]	GST Number	27AAACE2769D1ZS
[vii]	Narration to be inserted for NEFT	GOILOC-284/EBID/Benin/EPC-47

The preparation and submission of Application for Prequalification is **required 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 July 15, 2020, at the following address:

Mr. Ashok Kumar Vartia
Deputy General Manager
Export-Import Bank of India
Office Block, Tower 1
7th Floor, Adjacent to Ring Road
Kidwai Nagar [East]
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 EPC

This Part includes a summary description and other data on this prequalification process and of the prospective project to be contracted 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 ENGINEERING,
PROCUREMENT AND CONSTRUCTION (EPC)
CONTRACTORS FOR NINETEEN MULTI-
VILLAGE DRINKING WATER SUPPLY SYSTEMS
(MVWSS) IN BENIN**

Invitation for Prequalification

No.: GOILOC-284/EBID/Benin /EPC-47

Issued on: June 1, 2020

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Part I: Scope of EPC

The Export-Import Bank of India (hereafter Exim Bank or the Bank), on behalf of the Government of India (GOI) has approved financing of a project out of a Line of Credit extended to the Ecowas Bank for Investment and Development (EBID), Togo, for Nineteen Multi-Village Drinking Water Supply Systems (MVWSS) in Benin, for which Exim Bank now seeks applications for prequalification from eligible Indian entities. Refer Part II ITA 4 for eligibility provisions.

A] Background and Major Components of the Project

1. Site and other Data

Benin, officially the Republic of Benin, is a country in West Africa bordered by Togo to the west, Nigeria to the east, Burkina Faso and Niger to the north and the Atlantic Ocean to the south. It extends south to the Gulf of Guinea, where the capital Cotonou is located. Benin can be divided into four areas from the south to the north, starting with the low-lying, sandy, coastal plain (highest elevation 10 m) which is, at most, 10 km wide. Behind the coast lies the Guinean forest-savanna-mosaic-covered plateaus of southern Benin (altitude between 20 and 200 m), which are split by valleys running north to south along the Couffo, Zou, and Ouémé Rivers. An area of flat land dotted with rocky Collines whose altitude seldom reaches 400 m extends around Nikki and Save. A range of mountains extends along the northwest border and into Togo.

Benin covers an area of approximately 114,763 km² with a population of approximately 11 million growing at 3.52 percent per year. The official language is French. Benin is a tropical, sub-Saharan nation, highly dependent on agriculture, with a climate that provides good growing seasons. Benin's climate is hot and humid. Annual rainfall in the coastal area averages 1300 mm or about 51 inches. Benin has two rainy and two dry seasons per year. The principal rainy season is from April to late July, with a shorter less intense rainy period from late September to November. The main dry season is from December to April, with a short cooler dry season from late July to early September. Temperatures and humidity are high along the tropical coast. In Cotonou, the average maximum temperature is 31 °C; the minimum is 24 °C.

Variations in temperature increase when moving north through savanna and plateau toward the Sahel. A dry wind from the Sahara called the Harmattan blows from December to March, when grass dries up, other vegetation turns reddish brown, and a veil of fine dust hangs over the country. It is also the season when farmers burn brush in the fields.

2. Project background

The project involves the construction of a drinking water supply system and the rehabilitation/upgrading/expansion of existing networks involving construction of 19 Multi-Village Drinking Water Supply Systems (MVWSS) in Benin. There are 82 administrative villages connected to the 19 MVWSS distributed in 07 Departments of Benin.

The overall objective of the project is to improve access to drinking water in rural areas within the framework of universal access to drinking water by 2030.

Specifically, the project aims, among other things, to:

- (i) ensure access to an improved drinking water source for the beneficiary populations;
- (ii) ensure continuous and sustainable availability of drinking water and;
- (iii) ensure quality drinking water on a permanent basis.

For the purpose of execution, the project is bifurcated into two lots with details as under:

Lot1 – Construction of nine (9) MVWSS in the north of Benin

Lot2 – Construction of ten (10) MVWSS in the South and Central Benin

Project sites proposed to be covered under the Line of Credit to EBID are as below:

The sites proposed to be covered under the Line of Credit to EBID are as below:			
Districts	Communities	Number of Systems per district	LOT
ALIBORI	BANIKOARA	1	LOT1
ATACORA	KOUANDE	1	
BORGOU	NDALI (2)	7	
	BEMBEREKE		
	SINENDE		
	PERERE (3)		
COLLINES	SAVE	1	LOT2
	ZA-KPOTA	4	
	AGBANGNIZOUN		
	DJIDJA (2)		
OUEME	AKPRO-MISSERETE	1	
PLATEAU	SAKETE	4	
	POBE (2)		
	KETOU		

The Geographical Location of sites under Lot 1 and Lot 2 are depicted below:



3. Scope of EPC [For both Lot 1 and Lot 2]

The construction of a multi-village drinking water supply system in the aforementioned zones comprises the following components. Details as under:

Major Components of the Project

1. Elevated water tank:

Construction of at least one elevated tank for every system (09 tanks for Lot1 and 10 tanks for Lot2), in reinforced concrete. The capacities of the tanks shall range from 100 to 500 m³ and height from 12 to 24 meters.

- performance of all civil works, namely soil tests, calculation notes and execution plans, excavations, and reinforced concrete,
- Supplies and installation of various equipment in FD (elbows, tees, water meters, metal ladders and railings, hatch covers or manholes, level indicators, altimetric valves, isolation valves, hoists, non-return valves, etc.)
- Realization of fences around the tank,
- Tank leakage tests, general operation test, disinfection, site restoration and commissioning all civil works i.e. excavations, testing, cleaning and commissioning.

2. Equipment and layout of the drill heads:

- Supply and installation of equipment for drilling heads: plain and other flanges, isolation valve, valve, pressure gauges, suction cup, meter, special connection pieces (elbows, tees, FD pipes, etc.), anti-ram tank.
- construction of concrete superstructures,
- Tests and Commissioning.

Note: The realization of catchment works (drilling of the boreholes) is not part of the work to be performed by the contractor.

3. Piping or water transport networks and network protection or regulatory bodies:

- Supply and installation of PeHD pipes for Adduction, potential backflow and distribution, including connecting pieces and other installation accessories;
- Supplies and installation of ductile iron (FD) hydraulic equipment and accessories under viewable inspection systems (isolation valves, oil changes, suction cups, valves, pressure reduction gearbox, etc.);
- Supply and installation of PeHD and/or FD connection parts (elbows, tees, sleeves, reduction cones, etc.) and other accessories (warning wire, etc.);
- Commissioning of pipelines.

The total estimated length of the networks is 476 km for lot 1 and 539 km for lot 2 approx.

4. Buildings (technical rooms) and drinking water distribution points

For different uses, three types of premises will be constructed:

- generator shelter or electrical meter shelter,
- shelter for the chlorination unit (control room, product storage and chlorination station),
- operating room

The works include the execution of:

- all the civil engineering works commonly encountered in the construction of buildings: channel excavations, foundations (concrete cleanliness, runners under walls and / or soles insulated under posts, sills and or beams), supporting structures (columns, chaining and beams), hollow-body roofs with compression slabs, septic tanks,
- secondary state bodies: supply and installation of metal doors and windows, electrical equipment and appliances, plumbing and painting equipment and appliances;
- functional tests,
- restoration work, cleaning and commissioning.

5. Drinking water distribution points

It will be essential to build standpipes with two (02) galls or and sometimes on stilts according to the Technical Specifications and Plans.

The works shall include the execution of:

- all civil engineering works: channel excavations, reinforced concretes, cement mortar masonry,
- secondary bodies: supply and installation of metal covers and grilles, fittings, paint,
- restoration work, cleaning, operational tests and commissioning.

6. Electrical Connection and Electromechanical and Electrical Equipment

- Energy sources: supply and installation of Generating Sets with its control box or connection to the national conventional electric network, depending on the location of the boreholes in relation to the electricity network (possible extensions of MV and LV lines on the conventional network SBEE including supply and installation of suitable transformers)
- Supply and installation of submersible electric pumps equipped with risers equipped with fittings,
- Supply and installation of the electric pump control cabinet;
- Protection systems for electromechanical equipment: supply of electrical equipment and devices for earthing and lightning protection;

7. Water treatment units:

- Supply and installation of a chlorination system (chlorine dosing pump and accessories);
- Possible realization of a de-ironing station;
- Supply and possible installation of other types of water treatment units possibly recommended by the water analysis laboratory.

As an indication, the technical characteristics of multi-Village Water Supply Systems (MVWSS) in the aforementioned zones are as follows:

LOT 1

DEPARTMENT	Description of the MVWSS	TANK (m ³)	PIPING NETWORK (Km)	KIOSKS
ALIBORI	OUNET	250	83.40	21
ATACORA	BIRNI	400	93.40	41
BORGOU	SIRAROU	200	19.00	21
	BORI	200	24.99	19
	GAMIA	250	76.00	26
	SEREKE	400	24.40	41
	GNINSY	350	62.12	35
	GUIGNANROU	300	61.20	28
	GNINSY	100	31.23	14

LOT 2

DEPARTMENT	Description of the MVWSS	TANK (m ³)	PIPING NETWORK (Km)	KIOSKS
COLLINES	BESSE	200	131.73	19
	ZA-KPOTA	250	14.78	23
	TANVE	250	34.46	29

ZOU	SETTO	150	37.33	16
	GOBE	150	33.72	14
OUEME	ZOUNGBOME	300	32.52	35
PLATEAU	AGUIDI	350	94.47	48
	ISSABA	250	64.92	37
	TOWE	500	50.84	59
	ODOMETA	250	43.42	26

Kiosks are the drinking water distribution points or construction of special public connections

B] Contract execution period

The overall duration of the contract is expected to be Eighteen (18) months for each Lot 1 and Lot 2, excluding the defect liability.

C] Other Information: The Applicant can apply for a single lot or for both the lots, subject to meeting the eligibility criteria.

D] GOI Guidelines

As per the GOI guidelines, goods and services for minimum 75% value of the contracts covered under the Lines of Credit, must be sourced from India. Applicants are advised to refer to the GOI guidelines mentioned above which are also available at <https://www.eximbankindia.in/assets/pdf/loc/GOI-Guidelines-on-LOC.pdf>

Part II. Instructions to Applicants [ITA]

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Part II. Instructions to Applicants

A. General

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| 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 EPC and subject to the provisions of this Application Document. |
| 3. Ethics and Integrity | <p>3.1 The Bank requires Applicants to participate in this prequalification process with the highest standards of ethics and integrity. It is strictly forbidden to the parties involved in the 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 or any other acts¹, as offsets for prequalification or bidding or contract award and execution as applicable, if susceptible of being qualified as criminal unlawful acts in accordance with national laws of any party involved.</p> <p>3.2 In pursuance of 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.</p> <p>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 violated the provisions stated in ITA 3.1 above, the Bank, inter alia,</p> <ul style="list-style-type: none">a. shall reject any Application for prequalification or proposal to award a contract in connection with the subsequent procurement process, as applicable; and/orb. may declare an Applicant, 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 |

¹ These acts shall include, but not limited to, corrupt practice, fraudulent practice, collusive practice, coercive practice, obstructive practice, and conflict of interest.

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 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 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, 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 blacklisted/ debarred/ sanctioned by any Multilateral Development Agency (MDA) or any authority in India or the borrowing country in accordance with extant rules and procedures, shall be ineligible to participate in the prequalification/ bidding process as applicable, during such period of time as the sanctioning authority shall have determined. In case the Applicant is blacklisted/ debarred/sanctioned, the Applicant shall immediately inform Exim Bank of such blacklisting/ debarment/sanction and reasons thereof. This may lead to cancellation of prequalification / contract.
- 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 (a) it is currently under default on any loan to any Bank/Financial Institution (FI) and its account has been classified as Non-Performing Asset (NPA) as per Central Repository of Information on Large Credits (CRILC) database; and/or (b) its promoters/directors appear in Negative List, RBI Wilful Defaulter List (Suit filed as well as non-suit filed), Credit Information Bureau India Ltd. (CIBIL) Defaulter List and/or any other negative list of

central and/or state government agencies, updated from time-to-time. On being included in any of the above lists post the prequalification process (i.e. including during bidding process and/or Project implementation phase), the Applicant shall immediately inform Exim Bank on the inclusion and reasons thereof. This may lead to cancellation of prequalification / contract.

- 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 EPC
 - 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

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| 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: <ul style="list-style-type: none">(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 | <p>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 clause may result in summary rejection of the Application.</p> <p>13.2 If an Applicant does not manufacture or produce the goods it offers to supply; it shall submit documentation related to Manufacturer's Authorization as specified in the DS.</p> <p>13.3 Wherever a monetary amount is to be stated, Applicant should indicate the USD equivalent using the rate of exchange determined as follows:</p> <ul style="list-style-type: none">(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 Liquidity, Annual Residual Contract Value and 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** 15.1 The Applicant shall enclose the original Application in a sealed envelope that shall:
- (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.
- 15.2 The Bank will accept no responsibility for not processing any envelope that was not prepared as required in ITA 15.1 above.
- 16. Application Submission Deadline** 16.1 Applicants must submit their Applications in dual mode (on-line as well as off-line). Applications shall be received by the Exim Bank at the address and no later than the deadline indicated in the **DS**.
- 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.
- 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 non-responsiveness 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-contractor(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 contractor/ member of JV to the project employer, shall be considered. In particular, the qualifications of parent or subsidiary or any other affiliated company of the Applicant, who is not member of the JVCA except as permitted by 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. Further, the FAC issued by the Project Authority should indicate that the project was executed by the Applicant as an EPC contractor.
- 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 Invitation for Bids** 26.1 The Bank shall forward the list of prequalified firms to the 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:</p> <p>GOILOC-284/EBID/Benin/EPC-47</p> <p>The Bank's address is: Export-Import Bank of India Office Block, Tower 1 7thFloor, Adjacent to Ring Road Kidwai Nagar [East] New Delhi -110023 Tel :+91 – 11 – 23474829/23474800 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 Prequalification Stage only. The JV which is prequalified will be sustained for the entire bidding process. JV among prequalified EPC Contractors and non-prequalified EPC Contractors 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 contract package in a 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 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	A list of debarred firms and individuals by:

	<p>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://lnadbq4.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>
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B. Contents of the Application Document

ITA 6.1	<p>For clarification purposes, the Bank's address is:</p> <p>Mr. Ashok Kumar Vartia Deputy General Manager Export-Import Bank of India Office Block, Tower 1 7th Floor, Adjacent to Ring Road Kidwai Nagar [East] New Delhi -110023 Email: eximloc@eximbankindia.in</p>
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C. Preparation, Submission & Opening of Applications

ITA 10.1 (d)	<p>The preparation and submission of Application Form will be in dual mode (on-line as well as off-line).</p> <p>i) On-line mode of Application</p> <p>The applicant shall submit the application through Exim Bank's portal https://locprocure.eximbankindia.in</p> <p>For details for submitting Online Application, please refer the above portal.</p> <p>Minimum Requirements:</p> <ol style="list-style-type: none"> 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><u>For any Online technical clarification, kindly contact:</u></p> <p>Bob EProcure Pvt. Ltd. 3 / 4, 3rd Floor, Maruthi Towers, Madivala, SBM, Bangalore Karnataka – 560069</p>
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	Email: pqsupport@bobeprocure.net																		
	<p>ii) <u>Off-line mode of Application</u></p> <p>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><u>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.</u></p>																		
ITA 13.2	Undertaking related to Manufacturer’s Authorization in accordance with Form E.4.1 included in Part V of this Application Document.																		
ITA 13.3	<p>The source for determining exchange rates is:</p> <p>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). For the historical exchange rates, which are not made available by FBIL, the reference rate published by Reserve Bank of India (RBI) and available on may be used.</p> <p>In case a particular currency rate is not published by FBIL / RBI, then the selling rate of such currency shall be taken from the following website: http://www.oanda.com</p>																		
ITA 13.3(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></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
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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					
		31-Mar-19	69.1713	0.0145					
ITA 13.3(c)	Applicants shall use the following rates for conversion between USD and INR: <table><tr><td>USD 1 = INR</td><td>1 INR = USD</td></tr><tr><td>75.7501</td><td>0.013</td></tr></table> As on May 28, 2020					USD 1 = INR	1 INR = USD	75.7501	0.013
USD 1 = INR	1 INR = USD								
75.7501	0.013								
ITA 14.1	Additionally, one (1) copy in a pen drive shall also be submitted. 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 in the beginning of each volume of documents referring the page numbers of the indexed items.								
ITA 16.1	Submission of Application is required in dual mode i.e. on-line as well as off-line as mentioned in ITA 10.1(d). The deadline for Application submission is: Date: July 15, 2020 Time: 15:00hrs For application submission purposes only , the Bank’s address is: Bank’s address is the same as that indicated in ITA 2.1 <i>Attention: Mr. Ashok Kumar Vartia, Deputy General Manager</i>								
ITA 18.1	The opening of the Applications shall be at the Bank’s address as that indicated in ITA 2.1 Date: July 15, 2020 Time: 15:30 hrs								

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

A	General	23
B	Past Contract Performance and Litigation	24-25
C	Financial Status and Capacity	25-26
D	Experience	26-29
E	Quality Assurance	29-32

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 (in case of partnership firm) of the Applicant 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 [self-attested on all pages] of Powers of Attorney 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 • GST Registration details, as applicable: Self attested copy • Screening Committee Application / Approval of Project Exports Promotion Council of India - PEPC [MOCI].

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 contract² non-performance as a result of Applicant's default since June 01, 2015. (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. ➤ 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 financial statements for the latest financial year (FY 2018-19), adjusted for 'Pending Contractual Litigation Value' as considered below: <ul style="list-style-type: none"> ➤ <ul style="list-style-type: none"> • 'Pending Contractual Litigation Value' shall be deemed to be 25% of the aggregate value of pending litigation across all contracts, net of provisions made in the latest audited financial statements (FY 2018-19), which shall be deducted from the net worth to arrive at the 'Adjusted Net Worth'. <p><i>*Adjusted Net Worth:</i> <i>Net worth as per the latest financial statements less [25% of Pending Contractual Litigation Value less provisions made in the latest audited financial statements for pending contractual litigations] = Positive</i></p> ➤ Documentation and Attachments to be submitted as mentioned below. ➤ In case of JV, each member shall meet the requirement.
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	

²Contract 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 have been exhausted.

Requirement:	<ul style="list-style-type: none"> ➤ The aggregate amount of awards against the Applicant, if any, since June 01, 2015 shall not exceed 25% of net worth as per the latest audited 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, statements of profit & loss and annual reports for the last 5 financial years (FY 2014-15 to FY 2018-19) 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 five (5) financial years, defined above; Profit (i.e. Profit Before Tax) for at least two (2) out of last five (5) financial years defined above; and Annual EPC Revenue³ in any one (1) of the last five (5) financial years as defined above be not less than following: <table border="1"> <thead> <tr> <th>Lot Details</th><th>Annual EPC Revenue (USD Mn)</th></tr> </thead> <tbody> <tr> <td>Lot 1</td><td>11.74</td></tr> <tr> <td>Lot 2</td><td>12.02</td></tr> </tbody> </table> <p>In case of JVCA, requirement (a) and (b) above shall be met by each member and requirement under (c), each member shall meet at least 25%, lead member shall meet at least 40% and all members together shall meet 100%.</p> <p>(ii) The Applicant shall demonstrate that it has access to, or has available, liquid assets, lines of credit, and other financial means (independent of any contractual advance payment) sufficient to meet the project cash flow requirements of ongoing contracts including the present contract net of the Applicants other commitments. Minimum required liquid assets and/or credit facilities to be made available⁴ for execution of the contract shall not be less than following:</p> <table border="1"> <thead> <tr> <th>Lot Details</th><th>Liquid Assets /</th></tr> </thead> <tbody> <tr> <td></td><td></td></tr> </tbody> </table>	Lot Details	Annual EPC Revenue (USD Mn)	Lot 1	11.74	Lot 2	12.02	Lot Details	Liquid Assets /		
Lot Details	Annual EPC Revenue (USD Mn)										
Lot 1	11.74										
Lot 2	12.02										
Lot Details	Liquid Assets /										

³In case of Contracts in INR, the exchange rate of 31st March of the financial year in which the contract was signed will be used to arrive at the USD equivalent.

⁴Exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall apply [Refer ITA 13.3(c)].

			Credit Facilities (USD Mn)
		Lot 1	2.94
		Lot 2	3.01
		<p>In case of JVCA, for requirement (ii) above, each member shall meet at least 25%, lead member shall meet at least 40% and all members together shall meet 100%.</p> <p>(iii) In order to qualify for multiple Lots, the Applicant shall meet aggregate of the requirements stipulated for (i)(c) and (ii) above for each such Lot.</p> <p>(iii) Documentation and Attachments to be submitted as mentioned below</p>	
Documentation to be submitted:		<p>Forms C.1.1 and Form C.1.3 both certified by the Statutory Auditors of the Applicant (in case of JV, for each member of the JV)</p> <p>Form C.1.2 [in case of JV, for each member of the JV]</p>	
Attachments to be submitted:		<p>The Applicant and its parties shall provide copies of audited financial statements for the last five (5) years as defined above. The financial statements shall:</p> <ul style="list-style-type: none"> 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 and certified by the Statutory Auditors/ Chartered Accountants in accordance with applicable legislation. c) be complete, including all notes to the financial statements. d) correspond to accounting periods already completed and audited. <p>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.</p>	
C.2 Value of ongoing contracts			
Requirement		<ul style="list-style-type: none"> ➤ Aggregate annual residual value⁵ of all ongoing contracts shall not be more than 350% of the highest annual turnover in last five (5) years as defined above. In case of JV, this shall apply to each member. ➤ Documentation and Attachments to be submitted as mentioned below. 	

⁵Exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall apply [Refer ITA 13.3(c)].

Documentation to be submitted:	Form C.2.1 certified by a Chartered Accountant
Attachments to be submitted:	None

D. Experience

D.1 General Experience	
Requirement:	<p>For both Lots</p> <ul style="list-style-type: none"> ➤ Experience in Construction / EPC contracts in water supply and related infrastructure in the role of prime contractor or JV member to the main client, in India, starting from June 01, 2013 and up to application submission deadline. (In case of JV, each member shall meet the requirement). ➤ Documentation and Attachments to be submitted as mentioned below.
Documentation to be submitted:	Form D.1.1
Attachments to be submitted:	<ul style="list-style-type: none"> ➤ 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. In case of projects executed through a Special Purpose Vehicle (SPV) under a concession agreement, FAC shall be issued by the Concession Granting Authority. ➤ 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: <ul style="list-style-type: none"> ❖ 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; and ❖ 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; ➤ 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.
D.2 Specific Experience	Refer Part I: Scope of EPC for details
Requirement:	<p>1. At least the number and value of similar EPC contracts in Water Supply and related infrastructure, in the role of prime contractor or JV member⁶ to the main client/project employer, completed between June 01, 2013 and application submission deadline:</p>

⁶Experience shall be considered on basis of scope of work of the Applicant in that JV for the contract under reference.

	No. of Contracts	Length of Water Transmission Line covered under each contract in Km (Value of Contract)#	
		Lot 1	Lot 2
Option I	3	190.40	215.60
OR			
Option II	2	238.00	269.50
OR			
Option III	1	380.80	431.20

[# Note: value of the contract is defined in terms of length of the transmission line and should be interpreted accordingly]

2. Out of the contracts covered under para 1 above or additionally, for each Lot 1 and Lot 2, the Applicant shall also demonstrate experience of contracts involving the following:

- Construction of at least 01 elevated concrete water storage tank with a capacity of at least 300 m³;
- at least one contract for installation / laying of water pipes of diameter 315 mm or above;
- at least one contract involving installation of water treatment plant / chlorination plant;

3. The Applicant shall submit the completion certificate as document of proof for completion of the similar nature of work and for additional requirement, and mention the date and cost of completion of the work.

4. In case of JVCA, the requirement shall be met as below:

- Eligibility in terms of Contract Value shall be met by each of the JVCA member, and cannot be aggregated.
- On meeting the Contract Value criterion by each member of the JVCA, their past experience in terms of the number of contract(s) executed may be considered on combined basis for meeting the criterion on number of contracts at 1 above.
- Past experience of JVCA member fully meeting one or more technical aspects listed in 2(a), 2(b) and 2(c) above, may be considered on combined basis for meeting the experience required at 2 above.

5. In addition to the above, for each Lot, each member of JVCA shall demonstrate experience of at least one contract of 50% of the value indicated under Option I above

6. Subcontractors' experience and resumes, if any, submitted with the application will not be taken into

	<p>account in determining the Applicant's compliance.</p> <p>7. In order to qualify for multiple Lots, the Applicant shall meet aggregate of the requirements stipulated for Lot 1 and Lot 2 above.</p> <p>8. Documentation and Attachments to be submitted as mentioned below.</p>
Documentation to be submitted:	Form D.2.1
Attachments to be submitted:	<ul style="list-style-type: none"> ➤ Final Acceptance/ Completion Certificate/ Testimonial Letters issued by the Project Authority for each contract listed in Form D.2.1 giving, inter alia, details of scope and value of work executed by the Applicant, contract start and completion dates. In case of projects executed through a Special Purpose Vehicle (SPV) under a concession agreement, FAC shall be issued by the Concession Granting Authority. ➤ 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: <ul style="list-style-type: none"> ❖ 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; and ❖ 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 ➤ 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, responsibilities and scope and value of work.

E. Quality Assurance

E.1 Certified Management System	
Requirement:	ISO Accreditation / Certified Quality Management System
Documentation to be submitted:	Form E.1.1
Attachments to be submitted:	Self-attested copy of ISO Accreditation / Quality Management System Certificate valid as on the deadline for submission of application

E.2 Equipment	
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Requirement:	<p>The Applicant must confirm that it can avail and deploy the following key tools & plants/equipment for execution of the scope of work as defined in Part I:</p> <p>For Lot 1 and Lot 2 each:</p> <table border="1"> <thead> <tr> <th>Details of equipment</th><th>Minimum number required</th></tr> </thead> <tbody> <tr> <td>Lifting crane, minimum height reach of 35 meters; minimum boom of 25 meters with an arrow load of 6 tons</td><td>05</td></tr> <tr> <td>Mobile crane, up to 25 meters high; arrow load of 1.5 tons</td><td>02</td></tr> <tr> <td>Vehicle carrier for the transport of heavy equipment</td><td>01</td></tr> <tr> <td>Hydraulic excavator of at least 200 hp</td><td>03</td></tr> <tr> <td>Hydraulic compressor of at least 100L / min and jackhammer with rock crusher</td><td>05</td></tr> <tr> <td>Tipper trucks of at least 12 m³</td><td>04</td></tr> <tr> <td>Water tanker of 15,000 liter</td><td>03</td></tr> <tr> <td>Truck Tray equipped with Crane Lifting</td><td>02</td></tr> <tr> <td>Mobile concrete plant with a capacity of at least 30 m³/h</td><td>01</td></tr> <tr> <td>Concrete mixer of at least 500 liters capacity</td><td>10</td></tr> <tr> <td>Metal scaffolding up to 30 meters high with access ramps</td><td>10</td></tr> <tr> <td>Topographic equipment (total station or level + theodolite, tripods, sights)</td><td>10</td></tr> <tr> <td>Topographic equipment (total station or level + theodolite, tripods, sights)</td><td>10</td></tr> <tr> <td>Full set of equipment for testing pressure of pipelines</td><td>20</td></tr> <tr> <td>Full set of equipment for geotechnical site laboratory (quality control of concrete, compactness resistance control)</td><td>02</td></tr> </tbody> </table> <p><i>Note: The above list of equipment is an indicative list. The complete list of equipment would be made available at Tender stage</i></p> <p>Documentation and Attachments to be submitted as</p>	Details of equipment	Minimum number required	Lifting crane, minimum height reach of 35 meters; minimum boom of 25 meters with an arrow load of 6 tons	05	Mobile crane, up to 25 meters high; arrow load of 1.5 tons	02	Vehicle carrier for the transport of heavy equipment	01	Hydraulic excavator of at least 200 hp	03	Hydraulic compressor of at least 100L / min and jackhammer with rock crusher	05	Tipper trucks of at least 12 m ³	04	Water tanker of 15,000 liter	03	Truck Tray equipped with Crane Lifting	02	Mobile concrete plant with a capacity of at least 30 m ³ /h	01	Concrete mixer of at least 500 liters capacity	10	Metal scaffolding up to 30 meters high with access ramps	10	Topographic equipment (total station or level + theodolite, tripods, sights)	10	Topographic equipment (total station or level + theodolite, tripods, sights)	10	Full set of equipment for testing pressure of pipelines	20	Full set of equipment for geotechnical site laboratory (quality control of concrete, compactness resistance control)	02
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Lifting crane, minimum height reach of 35 meters; minimum boom of 25 meters with an arrow load of 6 tons	05																																
Mobile crane, up to 25 meters high; arrow load of 1.5 tons	02																																
Vehicle carrier for the transport of heavy equipment	01																																
Hydraulic excavator of at least 200 hp	03																																
Hydraulic compressor of at least 100L / min and jackhammer with rock crusher	05																																
Tipper trucks of at least 12 m ³	04																																
Water tanker of 15,000 liter	03																																
Truck Tray equipped with Crane Lifting	02																																
Mobile concrete plant with a capacity of at least 30 m ³ /h	01																																
Concrete mixer of at least 500 liters capacity	10																																
Metal scaffolding up to 30 meters high with access ramps	10																																
Topographic equipment (total station or level + theodolite, tripods, sights)	10																																
Topographic equipment (total station or level + theodolite, tripods, sights)	10																																
Full set of equipment for testing pressure of pipelines	20																																
Full set of equipment for geotechnical site laboratory (quality control of concrete, compactness resistance control)	02																																

	mentioned below
Documentation to be submitted:	Form E.2.1
Attachments to be submitted:	None

E.3 Skilled Human Resources

Requirement:

Applicant must demonstrate that it can deploy the personnel for the key positions that meet the following requirements:

For Lot 1 and Lot 2 each:

Proposed Position	Minimum Desirable Qualification	Total Post-Qualification Experience (in years)	Experience in similar works (in years)	Number of Positions required
Project Director	Master's Degree in Hydraulic or Rural Equipment or Civil Engineering or Infrastructures	15	3	1
Head of Design and Planning	Master's Degree in Hydraulic or Rural Equipment or equivalent.	10	3	1
Chief Lab	Technician Certificate in Civil Engineering or equivalent	10	2	1
Hygiene Safety Environment Manager	Master's degree in Environmental Sciences, or in Hygiene and Sanitation	10	2	1
Principal Coordinator of Topographic Work	Topographer Engineer, or Land Surveyor, or Master in Topography	10	3	1
Principal Coordinator of Civil Works,	Master's Degree in Civil Engineering or Hydraulic Infrastructure, or Rural Equipment or equivalent	10	3	3
Principal Coordinator of Pipeline	Master's Degree in Civil Engineering or Hydraulic	10	3	3

Part IV. Prequalification Criteria and Requirements

	Laying and Plumbing Works,	Infrastructure, or Rural Equipment or equivalent			
	Main Coordinator of Electromechanical Works	Master's Degree in Electricity, Electro-mechanical, Electro-technical or Industrial	10	3	2
Documentation to be submitted:	Form E.3.1				
Attachments to be submitted:	<ul style="list-style-type: none"> None 				

E.4 Manufacturer's Authorisation (Undertaking)

Requirement:	<ul style="list-style-type: none"> In the case of an Applicant who offers to supply and/or install equipment in accordance with Part I of the Application Document that the Applicant did not manufacture or otherwise produce, the Applicant shall submit an undertaking to submit Manufacturer's Authorization(s) for all major equipment in favour of the Applicant to bid for the subsequent contract confirming warranty support, in the event of prequalification and submission of bid by the Applicant. Documentation to be submitted as mentioned below
Documentation to be submitted:	Form E.4.1

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
E.	Quality Assurance	Evaluation on Pass/ Fail basis

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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, we shall immediately inform Exim Bank of such debarment/sanction and reasons thereof, in accordance with ITA 4.5;
- (c) We confirm that we are currently not under default on 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), Credit Information Bureau India Ltd. (CIBIL) Defaulter List, and any other negative list of central and state government agencies, 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 Prequalification 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 not**⁷ 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.

⁷ Please change "we are not" to "we are" in case the applicant / members are facing investigation.

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

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.
	NEFT acknowledgement receipt towards payment of Processing Fee	
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 the JV Member	
*	2. Certificate of Incorporation (or equivalent documents of constitution or association), and/or documents of registration, of the JV Member	
*	3. PAN and GST Registration Details of the JV Member	
*	4. Organizational chart of the JV Member	
*	5. List of Board of Directors with their complete designation in case of nominee directors of the JV Member	
*	6. The beneficial ownership with respective shareholding and nationality of shareholders 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 Auditors of the Applicant	

C.1.2 *	Sources of Finance	
*	1. Audited Annual Reports for the last 5 years	
*	2. Statement of Consolidated Credit Facilities (sanctioned, utilised and available) from Lead Banker or respective Bank statements duly attested by the respective banks.	
C.1.3 *	Annual EPC Turnover, certified by the Statutory Auditors of the Applicant	
C.2.1 *	Ongoing Contracts (Certified by a Chartered Accountant)	
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 responsibilities and scope and value of work.	
E.1.1	Certified Management System	
	Self-attested copy of ISO Accreditation / Quality Management System Certificate	
E.2.1	Contractor's Equipment Details Undertaking stating that the equipment listed under E.2. Contractor's Equipment can be arranged and deployed at site.	
E.3.1	Skilled Human Resources	

Part V. Forms

	(Undertaking to deploy list of dedicated Human resources)	
E.4.1	Manufacturer's Authorisation (Undertaking)	
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

Applicant's name <i>[insert full name]</i>
In case of Joint Venture (JV), name of each member: <i>[insert full name of each member in JV]</i>
Applicant's country* of registration: <i>[indicate country of Constitution]</i>
Applicant's actual year of incorporation: <i>[indicate year of Constitution]</i>
Applicant's legal address [registered in India]: <i>[insert street/ number/ town or city/ country]</i>
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>
1. Attached are copies of original documents of <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. <input type="checkbox"/> In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.3. 2. Included are the PAN, 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.

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

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

Applicant name: <i>[insert full name of the JV]</i>
Applicant's JV Member's name: <i>[insert full name of Applicant's JV Member]</i>
Applicant's JV Member's country* of registration: <i>[indicate country of registration]</i>
Applicant JV Member's date of constitution: <i>[indicate date of constitution in dd/mm/yyyy]</i>
Applicant JV Member's legal address registered in India: <i>[insert street/ number/ town or city/ country]</i>
Applicant JV Member'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>
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. 2. Included are the PAN, GST Registration details, organizational chart, a list of Board of Directors, and the beneficial ownership.

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

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 specified in Part IV, Prequalification Criteria and Requirements, Sub-Factor B.1.			
<input type="checkbox"/> Contract(s) not performed since the date 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 financial 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 "Contractor"]</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]</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 "Contractor"]</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 USD equivalent and specify exchange rate and 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 Auditors. 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 five (5) years, (amount in Indian Rupees)				
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19
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					
Net Worth					
Net Worth					
Information from Income Statement					
Income					
Expenditure					
Profit/(Loss) Before Tax (PBT)					
Profit/(Loss) After Tax (PAT)					
Information From Cash Flow Statement					

Part V. Forms

Cash Flow from Operating Activities					
Cash Flow from Investments					
Cash Flow from Financing Activities					

Registration No/ Membership No:
(of the Statutory Auditors of the Applicant/each JV member)

Stamp

Date:

Place:

Form C.1.2

Sources of Finance

[The following table shall be filled in for the Applicant and each partner in case 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]

Specify sources of finance to meet the cash flow requirements for works currently in progress

A. Details of Credit Facilities available to the Applicant (amount in Indian Rupees)

Sr. No	Type of Facility	Sanctioned Limit	Utilised Limit	Unutilised Limit
	Fund Based Limits			
	a.			
	b.			
	c.			
	Total Fund Based			
	Non-fund Based Limits			
	a			
	b			
	C			
	Total Non –fund Based			
	Total Fund and Non-fund Based Limit			

B. Details of Liquid Assets such as cash and bank balance, marketable securities and any other financial means which may be used meet the cash flow requirements for works currently in progress by the Applicant

Sr. No.	Type of Liquid Assets	Amount(in Indian Rupees)
1.		
2.		
3.		

3. Financial documents

The Applicant and its parties shall provide copies of audited financial statements for last five years as defined in 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 of 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 **five** 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.
- ☐ Please submit Statement of Consolidated Credit Facilities (sanctioned, utilised and available) from Lead Banker or respective Bank statements.

:

Form C.1.3

Annual EPC 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 Auditors. 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 Turnover Data						
Year	EPC Turnover Amount (INR)			Total Turnover (INR)	EPC Turnover as % of Total Turnover	Exchange rate* (v/s USD)	EPC Turnover in USD equivalent
	Contract s in India	Oversea s Contract s	Total EPC Turnover				
	[A]	[B]	C = [A+B]				
2014-2015							
2015-2016							
2016-2017							
2017-2018							
2018-2019							

* Refer ITA 13.3 for source of exchange rate. Exchange rate prevalent on 31st March shall be used to calculate turnover for respective financial year.

Registration No/ Membership No:
(of the Statutory Auditors of the Applicant/each JV member)
Date:

Stamp

Place:

Form C.2.1

Ongoing Contracts

[The following table shall be filled in for the Applicant and for each member of a Joint Venture and shall be certified by a Chartered Accountant. 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]*

Contract Identification	Role of Applicant	Start Date	Contractual Completion Date	Intended/ Revised Completion Date	Residual period for completion	Residual value of Work	Annual Residual value of Work
1	2	3	4	5	6	7	8
Contract Ref: Brief Title of the works: Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name & Address of Employer:	<i>[insert "Prime Contractor" or "JV Member"]</i>				<i>[Insert period in years starting from Application Submission Deadline. In case less than a year, value to be considered shall be 1]</i>	<i>[Insert value in US\$ equivalent including amount billed but pending payment up to deadline for submission of Application]</i>	<i>[Insert value in US\$ equivalent]</i> <i>[7 divide by 6]</i>
							<i>[Insert Total for all Contracts in USD]</i>

* Exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall apply to ascertain residual value in equivalent USD. Refer ITA 13.3 for source of exchange rate

Registration No/ Membership No:
(of the Chartered Accountants of the Applicant/each JV member)

Stamp

Date:

Place:

Form D.1.1

General Experience

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

[Identify contracts that demonstrate similar 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/ mmm/ yyyy]</i>	<i>[indicate date as dd/ mmm/ yyyy]</i>		<i>[insert "Prime Contractor" or "JV Member"]</i>

* Refer ITA 13.3 for date and source of exchange rate

Final Acceptance Certificate/Completion Certificate / Testimonial Letters issued by the employer / Concession Granting Authority in case of SPV to be attached for each contract in an orderly fashion.

Form D.2.1
Specific EPCExperience

[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, Prequalification 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	<i>[insert contract name and number, if applicable]</i>		
Contract date	<i>[dd/mmm/yyyy]</i>		
Completion date	<i>Contractual: [dd/mmm/yyyy]</i>	<i>Actual: [dd/mmm/yyyy]</i>	
Role in Contract <i>[check the appropriate box]</i>	Prime Contractor <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 a 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:		
Description of the similarity in accordance with Sub-Factor D.2 of Part IV:	<i>[Name the Sector/ Sub-sector][Briefly mention the similarity in terms of sectoral characteristics and technical aspects listed in Sub-Factor D.2]</i>		
For the above contract, mention the following attributes			
1. Capacity/ Physical size of key works items	<i>[insert capacity/ physical size of key work items]</i>		
2. Complexity	<i>[insert description of complexity in accordance with the technical aspects mentioned under Part IV D.2]</i>		
3. Methods/ Technology	<i>[insert specific aspects of the methods/ technology involved in the contract]</i>		
4. Rate of execution for key items	<i>[insert execution rates for key items]</i>		
5. Other Characteristics	<i>[insert other characteristics as appropriate]</i>		

Note: Rate implies the quantity executed in unit time e.g. cubic meters of earthwork per annum, etc.

* Refer ITA 13.3 for date and source of exchange rate.

* Final Acceptance Certificate /Completion Certificate / Testimonial Letters issued by the employer / Concession Granting Authority in case of SPV to be attached for each contract, in an orderly fashion

Form E.1.1

Certified Management System

[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]*

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]*

ISO Accreditation/ Certified Management System	Process/ Discipline Certified/ Inclusions	Certification Start Date	Certification Valid up to	Certifying Organization
<i>[indicate the quality management system accreditation]</i>	<i>[indicate certificate identification number and mention which process or discipline has been certified and inclusions]</i>	<i>[dd/mmm/yyyy]</i>	<i>[dd/mmm/yyyy]</i>	<i>[indicate the name of the certifying organization and contact details]</i>

Copy of ISO Certificate(s) to be attached

Form E.2.1

Contractor's Equipment Details

[In case of JVCA, this form shall be submitted on a combined basis]

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

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

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

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

We, *[insert Applicant's full name and in case of JVCA, insert names of all members]* hereby undertake, in the event that we are prequalified and invited to submit a bid, to arrange and deploy following equipment, listed in E.2, at site :

Equipment Type	Make/ Model	Capacity	Number
<i>[mention the generic name/ type of equipment]</i>	<i>[indicate make/ model of equipment]</i>	<i>[indicate capacity of equipment]</i>	<i>[indicate number available]</i>

[To be attested by the authorized representative of the Applicant and in case of a JVCA, by the lead member on behalf of the JV members]

Form E.3.1

Skilled Human Resources

[Furnish details for key staff pursuant to Part IV, Prequalification Criteria and Requirements, Sub-Factor E.3. In case of JVCA, this shall be on a combined basis]

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

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

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

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

We, *[insert Applicant's full name and in case of JVCA, insert names of all members]* hereby undertake, in the event that we are prequalified and invited to submit a bid, to arrange and deploy key staff meeting the experience and qualification requirements, listed in E.3 :

Position	Name of key staff	Academic Qualification	Specialization	Years of Experience	Experience in Countries

[To be attested by the authorized representative of the Applicant and in case of a JVCA, by the lead member on behalf of the JV members]

Form E.4.1

Manufacturer's Authorisation (Undertaking)

[The following form shall be filled in for the Applicant and in the case of a JV Applicant, on combined basis by the lead partner]

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]*

We, *[insert Applicant's full name and in case of JVCA, insert names of all members]* hereby undertake, in the event that we are prequalified and invited to submit a bid, to submit manufacturer's authorization(s) in our favour:

- (a) to bid for the supply of equipment for the tender under reference;
- (b) confirming guarantee/ warranty support for the equipment bid for by us; and
- (c) confirming that the equipment being bid for to be supplied shall be new and unused.

[To be attested by the authorized representative of the Applicant and in case of a JVCA, by the lead member on behalf of the JV members]

Part VI. Questionnaire for Applicants

Name of Applicant: *[In case of JV, to be filled in by 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 an EPC contractor. If yes, please provide details of Client, Country and Scope of EPC. 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 government procuring entity, 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's account been classified as Non-Performing Asset (NPA) with any Bank/FI or your companies/ promoters/ directors appear in Reserve Bank of India (RBI) Caution List, RBI Wilful Defaulter List (Suit filed as well as non-suit filed), Credit Information Bureau India Ltd. (CIBIL) Defaulter List or any other negative list of central and state government agencies, updated from time to time? If yes, please provide details in a separate sheet, as necessary.	Yes____/No_ _____
6. 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__
7. 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__
8. Has there been a termination of your contract for non-performance 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__
9. 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__

10. Please confirm that you agree to the provisions of the Government of India guidelines dated 7 th December 2015 on IDEAS Lines of Credit	Confirm: Yes__ / No __
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** Note: To confirm, print "Yes", else "No"*

(Signature)

[Name of Authorized Signatory]

[Title of Authorized Signatory]

Date: