

**Application Document**  
for  
Pre-qualification of Engineering,  
Procurement and Construction [EPC]  
Contractor for Renovation/Up-gradation of  
Bulawayo Thermal Power Plant in the  
Republic of Zimbabwe.

**Export-Import Bank of India**  
**Date: August 29, 2016**

## INVITATION FOR PREQUALIFICATION

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

These Lines of Credit are governed by the Guidelines issued by the GOI from time to time. As per the extant guidelines issued vide letter no No. 21/3/2015-IDEAS dated December 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 Line[s] of Credit.

In pursuance to the above, the Bank invites Applications from Indian firms for prequalification of an EPC Contractor for Renovation/Up-gradation of Bulawayo Thermal Power Plant in Zimbabwe under a Line of Credit of USD 87.00 million extended to the Government of the Republic of Zimbabwe.

Completed Applications in accordance with the provisions of the Application Document should be delivered physically by 1800 hours, September 30, 2016 at the following address:

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Lines of Credit Group  
Export-Import Bank of India  
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This Application Document [AD] consists of the following Parts:

**Part I.            Scope of EPC Work**

This Part includes a summary description and other data on this pre-qualification process and of the prospective project to be contracted by the Borrower government subsequent to this pre-qualification.

**Part II.           Instructions to Applicants [ITA]**

This Part provides information to the Applicants in preparing and submitting their Applications for Pre-qualification [“Applications”] and the procedures for this pre-qualification process.

**Part III.          Data Sheet [DS] to ITA**

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

**Part IV.          Pre-qualification Criteria and Requirements**

This Part specifies the criteria and requirements and the procedure to be used to determine how Applicants shall be pre-qualified and later to be invited to bid by Borrower government.

**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**  
**Pre-qualification of Engineering,**  
**Procurement and Construction [EPC]**  
**Contractor for Renovation/Up-gradation of**  
**Bulawayo Thermal Power Plant in the**  
**Republic of Zimbabwe**

**Invitation for Pre-Qualification No.:**  
**GOILOC-246/Zimbabwe/EPC: 03**

**Issued on: August 29, 2016**

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## **PART I: SCOPE OF EPC**

The Export-Import Bank of India [Bank], on behalf of the Government of India has extended a USD 87.00Million Line of Credit to the Government of the Republic of Zimbabwe for Renovation/Up-gradation of Bulawayo Thermal Power Plant for which the Bank now seeks applications for pre-qualification from eligible firms. Refer Part II ITA 4 for eligibility provisions.

### **A)Background and Major Components of the Project**

The Zimbabwe Power Company [ZPC] owns and operates Bulawayo Power Station, in Zimbabwe. Bulawayo Power Station is located in the City of Bulawayo which is 439 km south of the capital city of Harare. The Power Plant was commissioned between 1947 and 1957 with an installed capacity of 120MW. The Power Station is a coal fired thermal power plant which at commissioning had ten [10] chain grate type boilers of Yarrow make feeding five [5] turbo- alternator sets. The Power Plant was first refurbished between 1997 and 1999. The dependable capacity after the refurbishment in 1999 was 90 MW as four [4] boilers and two [2] alternators were decommissioned. The plant has since deteriorated again such that the current dependable capacity is now 30MW. Furthermore, the chain grate boiler technology is now obsolete. ZPC intends to refurbish the station with a view of increasing electricity generation to 90MW.

### **B)Scope of EPC:**

The objective of the project is to refurbish Bulawayo Power Station in Zimbabwe, in order that it generates 90MW. The scope involves replacing existing ten [10] Chain Grate boilers with modern technology, 2 x 45MW Circulating Fluidized Bed Combustion [CFBC] boilers; refurbishment of existing 3 x 30MW turbo-alternators, replacement of the steam range and steam receivers and refurbishment/replacement of Balance of Plant systems [the Coal and Limestone Plant, the Raw Water Supply System, Effluent Treatment Plant, Electrical system, Compressed air system, the Emergency Systems, etc].Contractor is expected to commission the entire power plant. The life of the refurbished turbo-alternators is to be extended by 15-20 years while the boilers are expected to have a life of 30 years.

The main offer shall comprise all works, plant and equipment necessary for a complete working power station including [inter alia] design, manufacture, erection and commissioning of CFBC boilers [2 x 45 MW], refurbishment/ overhauling of existing steam turbines [3 x 30 MW], condensers and other boiler and turbine auxiliary equipment. It shall include refurbishment/overhauling of electrical systems, control systems, control rooms, air pollution control systems for dust suppression/ extraction, cooling water systems, make up water systems, site civil works, coal handling system including storage and reclaiming facilities, fuel oil unloading and storage facility, new dust and ash handling equipment, new station chimney, any other auxiliary plant and systems necessary for the successful operation of the plant. The scope of the contract shall include but not necessarily be limited to -

## **B.1 Civil works**

### **B.1.1 Main works- these works shall be included in the offer but not necessarily limited to:**

- Dismantling of old boilers, bunkers, FD fans, ID Fans, chimneys and other old equipment which are to be replaced with new equipment;
- All piling reinforced concrete slabs and foundations for new CFBC Boilers;
- Modification of existing coal handling system after removing existing Redler conveyor system but retaining the existing wagon tippler and provision of track hopper for manual unloading of coal wagons. This may need remodelling of the yard;
- Provision of new ash handling system;
- Modification of Dust suppression system and
- Refurbishment of wagon tippler including feeders.

### **B.1.2 Geotechnical investigation of the plant area as per the technical specification.**

### **B.1.3 Preliminary works**

- Erect new fencing to the perimeter of the site, complete with secure gates for access;
- Demolish/clear existing miscellaneous structures/ foundations;
- Break out existing concrete, paving etc;
- Removal of temporary works after main works are completed and
- Site supplies for water and electricity.

## **B.2 Boiler plant:**

The proposed power plant shall comprise of two [2] CFBC boilers which shall be capable of producing sufficient quantity of superheated steam to generate 90MW output. The boilers shall be of semi outdoor type, PA I SA /ID fans are external to the main structure. The CFBC boiler shall be designed to burn the specified fuel from 100% BMCR down to about 35 % BMCR without support oil.

The CFBC boiler should comprise of a combustor, water cooled cyclone separators with the associated loop seal and a conventional back pass.

## **B.3 Steam turbine and auxiliary plant:**

Refurbishment of Steam Turbines [3x30MW] and Auxiliary Plant to give a sustained output and availability factor of 90%, for the next 15 to 20 years from date of successful commissioning.

## **B.4 Turbovisory system:**

A new on-line monitoring system of critical parameters of turbo alternators shall be installed. The Turbovisory system shall be installed for the monitoring of vibrations, differential expansion, total expansion of units and save the Turbines from mal-operation.

## **B.5 Feed-heater and condenser systems:**

Refurbishment/Overhauling shall be required of the following and supply and installation of new equipment wherever mentioned.

- Air ejector;
- Feed water heating System including Feed Heaters and evaporator;
- Condensate Extraction pumps & systems;

- Overhauling of all the condensate extraction pumps and motors;
- Condenser;

Integrity of its tubes has bearing on the cycle efficiency of unit and chemical regime of water to steam circuit. It is estimated that 20-25 % population of tubes will need replacement. The condenser needs to be cleaned by high pressure jet, there after eddy current test to be conducted to ascertain the real condition of all condensers.

- Drain pipe work;
- Reserve feed water tank and
- Boiler feed pumps

Existing 9 numbers [6 motor driven feed pumps + 3 Turbine driven feed pumps] are to be replaced with three [3] 50% capacity [2 working +1 standby] motor driven Boiler Feed Pumps along with motors of each pump.

**B.6 Water and cooling water system:**

- Overhaul of all the CW pumps including motors;
- Each of the three 30MW turbo generators has two cooling water pumps. All the pumps and their drives are similar in both design and construction. The pumps are located adjacent to the respective condenser and
- Two pumps and motors to be provided as spare pumps to be used as and when required.

At about 20 kms West of Bulawayo city there is Khami Dam which is being considered for water supply to the power station. Necessary refurbishment is to be done for the existing filter plant along with repair/replacement of the pumps and motors/valves at Khami dam site. A new pipe line for supply of treated/filtered water up to the power station shall have to be laid. Contractor shall as per the topographical survey, design, supply, erect, and commission the pipeline of adequate capacity along with refurbishment of all other water supply system.

**B.7 Cooling towers:** Refurbishment of all six (6) existing cooling towers.

**B.8 DM Plant:** Providing a new DM Plant of 2 X 30 m<sup>3</sup>/hour.

**B.9 Compressed air system:** Additional compressors to be provided with specifications that suit the new boiler and existing turbine plant.

**B.10 Instrument air system:** Instrument air system to be provided as per requirement.

**B.11 firefighting system:**

- New compatible firefighting system with automatic fire detection suppression facilities to be supplied for the whole plant. The system to be compliant with the latest NFPA 850 standards;
- One mobile fire tender to be provided.

**B.12 Air conditioning system:**

- Main control room;
- Coal Handling Plant control room.



**B.13 Ventilation system:** As per requirement

**B.14 Coal receiving, storage and handling**

Indicative modifications required in Coal Handling Plant shall be shown in the tender documents. Bidder may propose any alternative arrangement suitable as per the space available at site.

**B.15 Ash and dust handling and disposal:**

- Ash and dust collection and disposal system;
- Bottom ash and dry fly ash silos

**B.16 Fuel oil:**

- Necessary fuel handling system including unloading system to be provided for start-up fuel to the boiler;
- One storage tank of capacity 100 kl to be provided.

**B.17 Electrical works:**

Refurbishment/Replacement/Overhauling of electrical and control and Instrumentation system including transformers, switchgear, control gear, cabling, motors and batteries. The brief details are given below:

- The existing electrical, Control & instrumentation system shall be replaced with DCS/SCADA including other instruments of Turbines, Generators and other auxiliary equipment for Unit No. 3,4 and 5 including UPS and Redundant DC power supply for the system;
- Supply, Installation of turbovisory system;
- Up-gradation of existing control room.
- Overhauling including DE/NOE side bearing replacement of HT/LT motors of turbine side auxiliaries including balance of plant auxiliaries [other than boiler auxiliaries];
- Renovation of turbine house lighting including installation of new distribution boards, if required;
- Replacement of all 2.2 kV/400 V Switchgears i.e. supply, erection & commissioning of new switchgears including dismantling of old switchgears and shifting of them to a location as per owner's guidelines;
- All the pressure/Temperature/level gauges, flow/ level/temperature/ pressure transmitters etc shall be replaced along with cables. All the instrumentation system shall be up graded and integrated with DCS/SCADA system;
- Replacement of all Generator Circuit Breakers with suitable SF6 breakers;
- Replacement of all Generator Transformers, Unit auxiliary transformers and auxiliary transformers;
- Supply of HT &LT cables. Dismantling of existing power and control cables including transportation of these cables up to store site. Laying & termination of new cables to various electrical panels, switchgears, transformers, motors etc;
- Overhauling of all Generators. The Generator protection relays shall be replaced with suitable latest version of relays. The relays should be able to integrate into the

DSC/SCADA system. Generator protection Relay panels shall be supplied, installed and commissioned in the central control room;

- a. Main excitation system to be replaced with thyristor controlled DC converter with auto voltage digital regulator;
  - b. Complete overhauling of main exciter and pilot exciter and
  - c. Complete overhauling of air cooling system.
- Supply, Installation of shaft voltage monitoring system;
  - Testing of alternator [stator and rotor], Main exciter and pilot exciter after completion of overhauling works;
  - Supply, Installation of 1nos.1250 kVA DG Set;
  - Supply, Installation of necessary new switchgear for motorized valves of turbine/boiler side;
  - Supply, Installation of 2 sets of 450AH, 110 V battery and battery chargers including DC Distribution Board;
  - Supply, Installation of 2 sets of 450AH, 110 V battery and battery chargers including DC Distribution Board;
  - Supply of 600 LPH-capacity, portable transformer oil filtration unit;
  - Supply of testing tools/instruments for day to day electrical and control & instrumentation works;
  - During erection of CFBC boilers necessary/suitable earthing mat to be laid on boiler side and turbine side;
  - Supply, erection & commissioning of all electrical system of new CFBC boilers.
  - Supply, erection & commissioning of:
    - a. 2 nos. of 300KVA, 2200/400 V, Delta/Wye (3 Phase,4 wire), dry type transformers and
    - b. 2 nos. of AC Distribution Boards to cater supply to lighting system and various other plant requirements.
  - Necessary material required for replacement [dismantling of old equipment, design and manufacture, supply and commissioning of new equipment] shall be carried out by the EPC contractor, if not mentioned above.

### **C] GOI Guidelines**

As per the GOI guidelines, goods and services for minimum 75% value of the contracts covered under these Lines of Credit, must be sourced from India. Applicants are advised to refer to the GOI guidelines mentioned above for details available at <http://www.eximbankindia.in/sites/default/files/C.pdf>

## Part II. Instructions to Applicants [ITA]

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## Part II. Instructions to Applicants

### A. General

- 1. Background**
  - 1.1 The Export-Import Bank of India [hereinafter called “the Bank”], on behalf of the Government of India [GOI], extends from time to time, concessional credit facilities [hereinafter called “Lines of Credit”] under the Indian Development and Economic Assistance Scheme [IDEAS] to overseas governments or their nominated agencies [hereinafter called “Borrower or Employer”], for financing projects to be executed by Indian entities. Payment by the Bank to the Indian exporters will be made only at the request of the Borrower and upon approval by the Bank, and will be subject, in all respects, to the terms and conditions of the credit [or financing] agreement.
- 2. Scope of Pre-qualification**
  - 2.1 With reference to the Invitation for Pre-qualification [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 pre-qualification as per the scope described in Part I, General Scope and subject to the provisions of this Application Document.
- 3. Ethics and Integrity**
  - 3.1 The Bank requires Applicants to participate in this pre-qualification process with the highest standards of integrity and ethics and prohibits any corrupt and / or fraudulent practices. It is strictly forbidden to the parties involved in the pre-qualification process, by themselves or by a third party, to offer, ask or accept for itself or for a third party, financial or non-financial advantage or even direct or indirect promise, as offsets for pre-qualification, if susceptible of being qualified as criminal unlawful acts in accordance with national laws of any party involved.
  - 3.2 In pursuance of article 3.1 above, Applicants shall permit the Bank to inspect all accounts, records and other documents relating to the submission of the Application, bid submission [in case prequalified], and contract performance [in the case of award], and to have them audited by auditors appointed by the Bank.
  - 3.3 If, in accordance with the administrative procedures of the Bank, it is demonstrated that an Applicant in this pre-qualification process, or during the subsequent bidding for the contract[s] has committed corrupt, fraudulent, or unethical practices, the Bank, inter alia, shall:
    - a. reject any Application for pre-qualification or proposal to award a contract in connection with the subsequent

procurement process, as applicable; and/or

- b. declare an Applicant involved in corrupt practices, temporarily or permanently, ineligible to be awarded future contracts under Bank funding.

#### **4. Eligibility of Applicants**

- 4.1 This pre-qualification exercise is open to only Indian Applicants in accordance with the provisions of ITA 4.4. Any form of association by the Applicant with ineligible entities either during this pre-qualification 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 pre-qualification 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 listing out the names of all the JV members. In the case of a JV, all members shall be jointly and severally liable for the execution of the subsequent contract[s] in accordance with the respective contract terms. The JV shall be represented by an authorized representative who shall have the authority from all members of the JV so as to conduct all business for and on behalf of the JV during the pre-qualification process. The limit on the number of members in a JV would be as specified in the **DS**.
- 4.4 This pre-qualification exercise is open to only Indian Applicants. An Applicant shall be deemed to be Indian if the Applicant is constituted, incorporated or registered in, and operates in accordance with the provisions of the laws of India, as evidenced by its articles of incorporation and its registration documents, as the case may be.
- 4.5 An Applicant that has been debarred/ sanctioned by the Bank in pursuance of ITA 3.1, including debarment/ sanction by any government procuring entity/ corporation or Multilateral Development Agencies [MDA] in accordance with extant rules and procedures, shall be ineligible to be prequalified, during such period of time as the Bank/ sanctioning authority shall have determined.
- 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 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 Pre-qualification 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. 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.

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|---|---|
| <b>7. Corrigendum of Application Document</b> | <p>7.1 At any time prior to the deadline for submission of Applications, the Bank may amend the Application Document by issuing a Corrigendum.</p> <p>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.</p> <p>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.</p> |
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### **C. Preparation, Submission and Opening of Applications**

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|--|---|
| <b>8. Cost towards Application</b>                             | <p>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 pre-qualification process.</p>  |
| <b>9. Language</b>   | <p>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.</p>  |
| <b>10. Documents constituting the Application</b>              | <p>10.1 The Application shall comprise the following:</p> <ul style="list-style-type: none"><li>(a) Application Submission Form, in accordance with ITA 11.1;</li><li>(b) documentary evidence establishing the Applicant's eligibility, in accordance with ITA 12.1;</li><li>(c) documentary evidence establishing the Applicant's qualifications, in accordance with ITA 13; and</li><li>(d) any other document required as specified in the <b>DS</b>.</li></ul> |
| <b>11. Application Submission Form</b>                         | <p>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.</p>  |
| <b>12. Documents Evidencing the Applicant's Eligibility</b>    | <p>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].</p>  |
| <b>13. Documents Evidencing the Applicant's Qualifications</b> | <p>13.1 To establish its qualifications in accordance with Part IV, Pre-qualification Criteria and Requirements, the Applicant shall provide the information requested in the corresponding Forms included in Part V. Each Form included in Part V shall be duly signed by the authorized representative of the Applicant. In case of JV,</p>   |

authorized representative of the respective member shall sign. Noncompliance to this requirement may result in summary rejection of the Application.

- 13.2 Wherever a monetary amount is to be stated, Applicants should indicate the USD equivalent using the rate of exchange determined as follows:

Value of single contract - Exchange rate prevailing on the date of the contract shall be used.

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.

For data related to financial statements, the amounts shall be mentioned in Indian Rupees [INR].

**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.
- 14.2 Copies of the signed original Application, in the number specified in the **DS**, and clearly marked as "COPY" shall be submitted by the Applicant. The original shall govern in case of any discrepancy between the original and the copies.

**15. Preparing the Application Envelope**

- 15.1 The Applicant shall enclose the original and the copies of the 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 pre-qualification 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 may either submit their Applications by mail or by hand. Applications submitted electronically shall not be admissible. Applications shall be received by the 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 pre-qualification process until the official notification of pre-qualification 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 pre-qualification in accordance with ITA 25, any Applicant who wishes to contact the Bank on any matter related to the pre-qualification process [except as specified in 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.

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.

## **E. Evaluation of Applications and Pre-qualification of Applicants**

### **22. Evaluation of Applications**

- 22.1 The Bank shall use the criteria and requirements defined in Part IV, Pre-qualification 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 pre-qualification 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-contractors[s], if any, proposed by the Applicant will not be considered for evaluation of the Applicant.
- 22.3 Only the qualifications of the Applicant shall be considered. In particular, the qualifications of a parent or other affiliated company that is not party to the Applicant under a JV in accordance with ITA 4.3 shall not be considered.

### **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 pre-qualification process and reject all Applications at any time, without thereby incurring any liability to the Applicants.

### **24. Pre-qualification of Applicants**

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

### **25. Notification of Pre-qualification**

- 25.1 The Bank shall notify the result of the pre-qualification process through letters/Emails to the Applicants.
- 25.2 Applicants that have not been pre-qualified may write to the Bank no later than 15 calendar days after the date of publication of the result of pre-qualification, to request the grounds on which they were not pre-qualified.

### **26. Subsequent Invitation for Bids**

- 26.1 The Bank shall forward the list of pre-qualified firms to the Borrower for subsequent invitation of proposals.

Part III. Data Sheet (DS) to ITA	
<b>A. General</b>	
<b>ITA 2.1</b>	<p>The identification of the Invitation for Pre-qualification [IFP] is:  <b>GOILOC-246/Zimbabwe/EPC: 03</b></p> <p>The Bank is:  Export-Import Bank of India  Maker Chamber IV, 8th Floor,  222 Nariman Point,  Mumbai – 400 021  [Tel : +91- 22861562 /22864018  +91-88796 90856 (Mobile)]  [Fax : +91- 2282 3394]  [E-mail: <a href="mailto:eximloc@eximbankindia.in">eximloc@eximbankindia.in</a>/<a href="mailto:trupti@eximbankindia.in">trupti@eximbankindia.in</a>]  Website: <a href="http://www.eximbankindia.in">www.eximbankindia.in</a></p>
<b>ITA 4.3</b>	<p><b>The lead partner of the JV shall be the one with the highest share in the JV which shall not be less than 26%.</b> The maximum number of other members in the JV shall be such that each of the other members should have at least <b>20%</b> 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"> <li>- Names of the Lead Partner and each of the other members</li> <li>- Percentage share of each JV member</li> <li>- Joint and Several Liability of all members of the JV</li> </ul>
<b>ITA 4.6</b>	<p>A list of debarred firms and individuals by:  the World Bank is available on the website:  <a href="http://www.worldbank.org/debarr">http://www.worldbank.org/debarr</a></p> <p>The Asian Development Bank is available on the website:  <a href="http://lnadbg4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&amp;count=999">http://lnadbg4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&amp;count=999</a></p> <p>the African Development Bank is available on the website:  <a href="http://www.afdb.org/en/projects-and-operations/procurement/debarment-and-sanctions-procedures/">http://www.afdb.org/en/projects-and-operations/procurement/debarment-and-sanctions-procedures/</a></p> <p>the European Bank for Reconstruction and Development is available on the website: <a href="http://www.ebrd.com/pages/about/integrity/list.shtml">http://www.ebrd.com/pages/about/integrity/list.shtml</a></p> <p>the Inter-American Development Bank is available on the website:  <a href="http://www.iadb.org/en/topics/transparency/integrity-at-the-idb-group/sanctioned-firms-and-individuals,1293.html">http://www.iadb.org/en/topics/transparency/integrity-at-the-idb-group/sanctioned-firms-and-individuals,1293.html</a></p>

<b>B. Contents of the Application Document</b>	
<b>ITA 6.1</b>	<p>For <b>clarification purposes</b>, the Bank's address is:  Ms. Trupti Mhatre  Assistant General Manager  Export-Import Bank of India  Maker Chamber IV, 8th Floor,  222 Nariman Point,  Mumbai – 400 021  [E-mail: <a href="mailto:eximloc@eximbankindia.in">eximloc@eximbankindia.in</a>/<a href="mailto:trupti@eximbankindia.in">trupti@eximbankindia.in</a>']</p>
<b>C. Preparation, Submission &amp; Opening of Applications</b>	
<b>ITA 10.1 (d)</b>	<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>
<b>ITA 13.2</b>	<p>The source for determining exchange rates is:  For conversion of foreign currency / Indian rupees [INR] to US Dollar, the Applicants shall use the Reference Rates of Foreign Currency published by Reserve Bank of India [<a href="http://www.rbi.org.in">www.rbi.org.in</a>]</p> <p>In case a particular currency rate is not published by Reserve Bank of India, then the selling rate of such currency shall be taken from the following website: <a href="http://www.oanda.com">http://www.oanda.com</a></p>
<b>ITA 14.2</b>	<p>In addition to the original, the number of copies to be submitted with the Application is: <b>One [1]</b></p> <p>Additionally one [1] copy in digital – in USB flash/ pen drive shall also be submitted.</p> <p>The pre-qualification application document 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.</p>

<p><b>ITA 16.1</b></p>	<p><b>The deadline for Application submission is:</b>  <b>Date: September 30, 2016</b>  <b>Time: 18:00 hrs</b></p> <p>For <b>application submission purposes only</b>, the Bank's address is:</p> <p>Bank's address is the same as that indicated in 2.1</p> <p><i>Attention: <b>Ms. Trupti Mhatre, Assistant General Manager</b></i></p>
<p><b>ITA 18.1</b></p>	<p>The opening of the Applications shall be at the Bank's address as that indicated in 2.1</p> <p><b>Date: October 03, 2016</b></p> <p><b>Time:15:00 hrs</b></p>

## **Part IV. Pre-qualification 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.

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**A. General**

<b>A.1 Nationality</b>	
<b>Requirement:</b>	The Applicant's Nationality shall be in accordance with ITA 4.4
<b>Documentation to be submitted</b>	Form A1.1 and A1.2
<b>Attachments to be submitted</b>	<ul style="list-style-type: none"> <li>➤ Articles of Incorporation and documents of registration of the Applicant [and each of the JV members] in accordance with ITA 4.4</li> <li>➤ 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</li> </ul>

<b>A.2. Eligibility</b>	
<b>Requirement:</b>	<ul style="list-style-type: none"> <li>• The Applicant shall not be under declaration as ineligible, as described in ITA 4.5</li> <li>• Documentation and Attachments to be submitted as mentioned below</li> </ul>
<b>Documentation to be submitted:</b>	Application Submission Form
<b>Attachments</b>	<ul style="list-style-type: none"> <li>➤ 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.</li> <li>➤ In case the Applicant is a JV, the Applicant shall submit a copy [self-attested on all pages] of Power of Attorneys for each member of the JV along with copy [self-attested] of relevant Board Resolutions or equivalent documents.</li> <li>➤ For an Applicant as a single entity or in case of JV, for each member: <ul style="list-style-type: none"> <li>• Permanent Account Number [PAN]: Self attested copy</li> <li>• TIN/ Service Tax Registration details, as applicable: Self attested copy</li> <li>• Documentary proof for being on the approved list of Project Exports Promotion Council of India - PEPC [MOCI]</li> </ul> </li> </ul>

**B. Past Contract Performance and Litigation**

<b>B.1 Past Contract Non-performance</b>	
Requirement:	<ul style="list-style-type: none"> <li>• There shall be no instance of contract<sup>1</sup> non-performance as a result of Exporter's default since <b>1<sup>st</sup> April 2011</b>.</li> <li>• Documentation and Attachments to be submitted as mentioned below</li> </ul>
Documentation to be submitted:	Form B.1.1
Attachments to be submitted:	Documents establishing details included in Form B.1.1

<b>B.2 Pending Contract Litigation</b>	
Requirement:	<ul style="list-style-type: none"> <li>• Applicant shall have a *positive net worth determined as per the financial statements for the financial year FY 2014-15 or FY 2015-16 [if available] and the contractual litigation value as considered below net of provision made in the latest audited financial statements: <ul style="list-style-type: none"> <li>○ Litigation value shall be deemed to be 25% of the aggregate value pending litigation across all contracts.</li> </ul> </li> <li>• Documentation and Attachments to be submitted as mentioned below</li> </ul> <p><i>Note: *Net worth- 25%[litigation value- provisions already made]= positive</i></p>
Documentation to be submitted:	Form B.2.1
Attachments to be submitted:	Documents establishing details included in Form B.2.1

<b>B.3 Contract Litigation History</b>	
Requirement:	<ul style="list-style-type: none"> <li>• There shall be no consistent history of court/arbitration award decisions related to contractual litigation against the Applicant<sup>2</sup> since <b>1<sup>st</sup> April 2011</b></li> <li>• Documentation and Attachments to be submitted as mentioned below</li> </ul>
Documentation to be submitted:	Form B.3.1
Attachments to be submitted:	Documents establishing details included in Form B.3.1

<sup>1</sup>Contract 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.

<sup>2</sup> The Applicant shall provide accurate information on the related Application Form about any litigation or arbitration resulting from contracts completed or ongoing under its execution over the last five years. A consistent history of awards against the Applicant or any member of a joint venture may result in failure of the application.



### C. Financial Status and Capacity

C.1 Financial Status	
Requirement:	<p>(i) The audited balance sheets and profit &amp; loss account/ annual report for the last 5years [FY 2010-11 to FY 2014-15] 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"> <li>Positive net worth for each of the last five years; and</li> <li>Positive profit [profit before tax] for at least 2 out of last 5 years.</li> <li>Average Annual EPC Revenue<sup>3</sup> for the last five financial years defined above be not less than <b>USD 65 million</b>.</li> </ol> <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%. Applicants may submit their audited financial statements for FY ending 31<sup>st</sup> March 2016, if available. However, assessment of the application shall be carried out on the basis of five Financial Years ending 31<sup>st</sup> March 2015 unless consideration of FY16 statements become critical to the prequalification of the applicant.</p> <p>(ii) The Applicant shall demonstrate that it has access to, or has available, liquid assets, unencumbered real 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 net of the Applicants other commitments. Minimum required Cash flow amount not less than <b>USD 11 million</b>. 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) Documentation and Attachments to be submitted as mentioned below</p>
Documentation to be submitted:	Form C.1.1 and Form C.1.2 both certified by the statutory auditor of the Applicant [in case of JV, for each member of the JV]
Attachments to be submitted:	<p>The Applicant and its parties shall provide copies of audited financial statements for <b>five</b> years [FY 2010-11 to FY 2014-15]. The financial statements shall:</p> <ol style="list-style-type: none"> <li>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].</li> </ol>

<sup>3</sup> Values shall be considered at FY15-16 level. Values in INR for previous years shall be compounded @8% per year to bring to the level FY15-16

	<p>b) be independently audited and certified by the statutory Auditor/ Chartered Accountant in accordance with applicable legislation.</p> <p>c) be complete, including all notes to the financial statements.</p> <p>d) correspond to accounting periods already completed and audited.</p> <p>Supporting documents for additional financial means for likely future commitments</p>
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<b>C.2 Value of ongoing contracts</b>	
Requirement	<ul style="list-style-type: none"> <li>Aggregate annual residual value of all ongoing contracts shall not be more than 250% of the highest annual EPC/Turnkey turnover for last 5 years [FY 2010-11 to FY 2014-15]. In case of JV, this shall apply to each member.</li> <li>Documentation and Attachments to be submitted as mentioned below</li> </ul>
Documentation to be submitted:	Form C.2.1
Attachments to be submitted:	<p>(a) Statement of Credit Facilities sanctioned and availed that are in force [including Source, Purpose, Amount, Validity Period]</p> <p>(b) Contract-wise Statement of Non-funded Facilities [such as Bank Guarantees] availed for execution of contracts [including Contract Title, Source/ Bank, Purpose, Amount, Validity Period]</p>

**D. Experience**

<b>D.1 General Experience</b>	
Requirement:	<ul style="list-style-type: none"> <li>Experience in Design Engineering/ Construction/ EPC contracts in the role of prime contractor, or JV member, in India during the last 7 financial years, starting FY 2008-09 to FY 2014-15.</li> <li>Documentation and Attachments to be submitted as mentioned below</li> </ul>
Documentation to be submitted:	Form D.1.1 [to be prepared separately for experience in India and outside India]
Attachments to be submitted:	Final Acceptance Certificate issued by the employer for each contract listed in Form D.1.1

D.2 Specific Experience	Refer Part I: Scope of EPC for details																		
Requirement:	<p>(i) <b>At least the number and value of similar EPC contracts as mentioned below</b> completed between <b>1<sup>st</sup> May2009</b> and application submission deadline:</p> <table><tr><th></th><th>No. of Contracts</th><th>Minimum Value<sup>4</sup> of <u>Each</u> Contract (USD mn)</th></tr><tr><td>Option I</td><td>3</td><td>34.80</td></tr><tr><td colspan="3">OR</td></tr><tr><td>Option II</td><td>2</td><td>43.30</td></tr><tr><td colspan="3">OR</td></tr><tr><td>Option III</td><td>1</td><td>69.30</td></tr></table> <p>The EPC scope under the above contract(s) shall demonstrate:</p> <p>a) Experience by the Applicant [Either single or in JVCA] in manufacture, installation and commissioning of CFBC Boilers of 45MW capacity or above, which is in successful operation for at least 2 years reckoned from the deadline for Application Submission.</p> <p>b) The acceptable boiler efficiency shall be at least 85%.</p> <p>Similarity shall be determined with respect to the following: Dismantling/ Replacement/ Refurbishment of old plant equipment, design, supply, installation and commissioning of new equipment including:</p> <ul style="list-style-type: none"><li>• Civil works related to CFBC Boilers, Coal handling system, Ash handling system, Dust suppression system, Wagon tippler including feeders</li><li>• Refurbishment of Steam Turbines of 30MW capacity and Auxiliary Plant, Feed-heater and condenser systems</li><li>• Overhaul of Water and cooling water system</li></ul>		No. of Contracts	Minimum Value <sup>4</sup> of <u>Each</u> Contract (USD mn)	Option I	3	34.80	OR			Option II	2	43.30	OR			Option III	1	69.30
	No. of Contracts	Minimum Value <sup>4</sup> of <u>Each</u> Contract (USD mn)																	
Option I	3	34.80																	
OR																			
Option II	2	43.30																	
OR																			
Option III	1	69.30																	

	<p>including CW pumps and motors, cooling towers</p> <ul style="list-style-type: none"> <li>• DM Plant of 30 m3/hour capacity</li> <li>• Compressed air system, Instrument air system</li> <li>• Firefighting system</li> <li>• Air conditioning and Ventilation system</li> <li>• Fuel oil storage tank of capacity at least 100 kL</li> <li>• Refurbishment/ Replacement/ Overhauling of electrical and control and Instrumentation system including DCS/SCADA system, turbovisory system, transformers, switchgear, control gear, cabling, motors, batteries, etc</li> </ul> <p>In case of JVCA, requirement shall be met by the JVCA on a combined basis i.e. contract values of each member shall not be aggregated but number of contract(s) by individual members meeting the value and technical aspects can be aggregated to meet the requirement on number of contracts.</p> <p>Notwithstanding the above, each member of JVCA shall demonstrate experience of atleast one contract of the value indicated under <b>Option I</b> above.</p> <p><b>(ii) Documentation and Attachments to be submitted as mentioned below</b></p>
Documentation to be submitted:	Form D.2.1
Attachments to be submitted:	Final Acceptance/ Completion Certificate/ Testimonial issued by the employer for each contract listed in Form D.2.1

<sup>4</sup>In case of Contracts in Indian Rupees, values for previous years shall be compounded @8% per year to bring to the level FY15-16 for evaluation. The year of contract signing shall be considered for this purpose and exchange rate as on 31<sup>st</sup> March of that Financial Year to arrive at the USD equivalent

**E. Quality Assurance**

**Result of evaluation to the following criteria may lead to full prequalification or conditional prequalification**

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

<b>E.2 Equipment</b>	
Requirement:	<p>Information on ownership and/or long term lease of equipment shall be considered in determining suitability to be prequalified as per the following requirements</p> <ol style="list-style-type: none"> <li>Equipment required for manufacturing of CFBC boiler of at least 45 MW capacity;</li> <li>Equipment and special tools required for refurbishment of Steam Turbine &amp; auxiliary plant and Generator of at least 30 MW capacity;</li> <li>Equipment required for refurbishment of balance of plant such as Coal Handling, Ash handling, Wagon tippler, cooling tower, CW Pumps, Air conditioning and Ventilation system etc; and</li> <li>Equipment required for refurbishment of electrical system in a Thermal Plant.</li> </ol> <p><b>Note:</b> The list of equipment and special tools shall be furnished in the enclosed form E.2.1 along with an undertaking that the equipment &amp; special tools required shall have ownership and /or long term lease of equipment for all the above systems with the Applicant.</p>
Documentation to be submitted:	Form E.2.1
Attachments to be submitted:	Self-attestation of Form E.2.1

<b>E.3 Skilled Human Resources</b>	
Requirement:	<p>Information on Skilled Human Resources on the rolls of the Applicant shall be considered in determining suitability to be prequalified for specific bidding opportunities based on the requirements in the bidding document which is as under:</p> <ol style="list-style-type: none"> <li>Qualification of the Key Staff shall be atleast B.E/B.Tech/Graduate in Engineering [Mechanical/Electrical/Instrumentation/Civil] for various works related to their field of specialization. The minimum experience of the Experts/key staff in the relevant</li> </ol>

	<p>field shall be at least 10 years.</p> <p>ii. The support staff shall have minimum 5 years' experience in the relevant field.</p> <p><b>Note:</b> The details of the skilled Personnel shall be furnished in the form E.3.1</p>
Documentation to be submitted:	<p>Form E.3.1</p> <p>CVs should, inter alia, incorporate qualifications, experience in the sector and should also list professional memberships / accreditations and knowledge of languages including foreign languages, countries of work experience.</p>
Attachments to be submitted:	<p>Documents/ Tables/ Charts demonstrating availability of Skilled Human Resources, number of staff, areas of expertise, years of experience, countries of work experience</p>

**NOTE:**

## The Evaluation Criteria for Pre- Qualification 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

# Part V. Forms

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## Application Submission Form

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

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

To: *[insert full name of Bank]*

We, the undersigned, apply to be pre-qualified 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;
- (c) We understand that you may cancel the pre-qualification process at any time and that you are neither bound to accept any Application that you may receive nor to invite the pre-qualified Applicants to bid for subsequent contract[s] subject to this pre-qualification process, without incurring any liability to the Applicants, in accordance with ITA 23.1.
- (d) 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 pre-qualification.

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]



## 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 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 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 pre-qualification process is open to only Indian firms.

## Form A.1.2

### Applicant's/ JV Member's Information Form

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

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

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

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

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

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

## Form B.1.1/ B.2.1/ B.3.1

### Past Contract Non-Performance, Pending Litigation and Litigation History

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

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

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

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

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

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

Form B.1.1			
Non-Performed Contracts in accordance with Part IV, Pre-qualification Criteria and Requirements			
<input type="checkbox"/> Contract non-performance did not occur since 1 <sup>st</sup> April 2011 specified in Part IV, Pre-qualification Criteria and Requirements, Sub-Factor B.1.			
<input type="checkbox"/> Contract(s) not performed since 1 <sup>st</sup> April 2010 specified in Part IV, Pre-qualification 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, 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]</i>

Form B.2.1				
Pending Litigation, in accordance with Part IV, Pre-qualification Criteria and Requirements				
<input type="checkbox"/> No pending litigation in accordance with Part IV, Pre-qualification Criteria and Requirements, Sub-Factor B.2				
<input type="checkbox"/> Pending litigation in accordance with Part IV, Pre-qualification Criteria and Requirements, Sub-Factor B.2 as indicated below.				
Year of dispute	Amount in dispute (currency)	Contract Identification	Total Contract Amount (currency), USD Equivalent (exchange rate)	Amount of specific provision already made, if any
<i>[insert year]</i>	<i>[insert amount]</i>	Contract Identification: <i>[indicate complete contract name, number, 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 "Exporter"]</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, Pre-qualification Criteria and Requirements			
<input type="checkbox"/> No litigation in accordance with Part IV, Pre-qualification Criteria and Requirements, Sub-Factor B.3. <input type="checkbox"/> Litigation Awards in accordance with Part IV, Pre-qualification 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, 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 "Exporter"]</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]</i>

## Form C.1.1

### Financial Status and Capacity

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

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

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

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

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

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

#### 1. Financial data

Type of Financial information in (currency)	Historic information for previous <i>[insert number]</i> years, <i>[insert in words]</i> (amount in Indian Rupees)				
	Year 1	Year 2	Year 3	Year4	Year 5
Statement of Financial Position (Information from Balance Sheet)					
Total Assets (TA)					
Total Liabilities (TL)					
Total Equity					
Current Assets (CA)					
Current Liabilities (CL)					
Working Capital (WC)					
Net Worth (NW)					
Information from Income Statement					
Total Revenue (TR)					
Profits Before Taxes (PBT)					
Cash Flow Information					
Cash Flow from Operating Activities					
Cash Flow from Investments					
Cash Flow from Financing Activities					

## 2. Sources of Finance

*[The following table shall be filled in for the Applicant and each partner in case of a Joint Venture]*

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

### A. Details of Credit Facilities available to the Applicant

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

### B. Details of Other Liquid Assets such as fixed deposits, other liquid assets 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
1.		
2.		
3.		

## 3. Financial documents

The Applicant and its parties shall provide copies of audited financial statements for last five years [FY 2010-11 to FY 2014-15] pursuant Part IV, Prequalification Criteria and Requirements, Sub-factor C.1. The financial statements shall:

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

- ☐ Attached are copies of financial statements for the **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.

## Form C.1.2

### Average Annual EPC/Turnkey Turnover

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

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

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

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

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

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

Annual EPC/ Turnkey Turnover Data						
Year	Amount (INR)			EPC Turnover as % of Total Turnover	Exchange rate*	USD equivalent
	Contracts in India	Overseas Contracts	Total EPC Turnover			
	[A]	[B]	C= [A+B]			
2010-2011						
2011-2012						
2012-2013						
2013-2014						
2014-2015						
	<b>Total:</b> <b>Average:</b>	<b>Total:</b> <b>Average:</b>	<b>Total:</b> <b>Average:</b>			<b>Average Annual EPC/ Turnkey Turnover **</b>

\* Refer ITA 13 for source of exchange rate. Exchange rate prevalent on 31<sup>st</sup> March shall be used to calculate turnover for respective financial year

\*\* Total USD equivalent for 5 years divided by 5 (five).



## Form C.2.1

### Ongoing Contracts

*[The following table 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

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 Exporter" 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]</i>

\* Refer ITA 13 for date and source of exchange rate

## Form D.1.1

### General Experience

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

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

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

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

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

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

*[Identify contracts that demonstrate Design Engineering/ Construction/ EPC work over the past 7 years pursuant to Part IV, Pre-qualification Criteria and Requirements, Sub-Factor D.1. List contracts chronologically, according to their commencement (starting) dates and attach Final Acceptance Certificates.]*

#### 1. Experience within India

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 Exporter " or "JV Member"]</i>

\* Refer ITA 13 for date and source of exchange rate

Final Acceptance Certificate to be attached for each contract

**2. Experience outside India**

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

\* Refer ITA 13 for date and source of exchange rate.

Final Acceptance Certificate to be attached for each contract

## Form D.2.1

### Specific EPC Experience

*[The following table shall be filled in for contracts performed by the Applicant, and each member of a Joint Venture, as applicable]*

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

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]</i>  <i>[Briefly mention the similarity in terms of sectoral characteristics]</i>		
<b>For the above contract, mention the following attributes</b>			
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]</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>		

\* Refer ITA 13 for date and source of exchange rate.

## Form E.1.1

### Quality 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]*

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

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

## Form E.2.1

### Equipment Details

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

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

<b>Equipment Type</b>	<b>Make/ Model</b>	<b>Capacity</b>	<b>Number</b>	<b>If owned, date of purchase</b>	<b>If leased, valid up to</b>
<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>	<i>[dd/mm/yyyy]</i>	<i>[dd/mm/yyyy]</i>

Above Form shall be self-attested

## Form E.3.1

### Skilled Human Resources

*[Furnish details for key staff pursuant to Part IV, Pre-qualification 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]*

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

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

## Part VI. Questionnaire for Applicants

Name of Applicant: *[In case of JV, to be filled in each partner separately]*

IFP No.: *[insert IFP No.]*

<b><u>Eligibility, Confirmation and Other Important Information</u></b>	<b><u>Response</u></b>
<p>1. Is your firm, either singly or in joint venture currently empanelled or prequalified as an EPC contractor.</p> <p>If yes, please provide details of Client, Country and Scope of EPC. Attach additional sheets, if needed.</p>	<p>Confirm:</p> <p>Yes___/No _____</p>
<p>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 pre-qualification process for undue advantage is improper.</p> <p>Confirm that Applicant and its JV partners, if applicable, have not engaged in any unethical practices in competing for this pre-qualification.</p>	<p>Confirm:</p> <p>Yes___/No _____</p>
<p>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 pre-qualification or any resulting contracts.</p>	<p>Confirm:</p> <p>Yes___/No _____</p>
<p>4. Has your firm been suspended or debarred by any Multilateral Agency, or any government, or a UN agency? If Yes, provide details, including date of reinstatement, if applicable. Attach additional sheets, if needed.</p>	<p>Yes___/No _____</p>
<p>5. Has your firm/organization ever filed or petitioned for bankruptcy? (If Yes, furnish details of the case including filing date and current status.). Attach additional sheets, if needed.</p>	<p>Yes___/No _____</p>
<p>6. Has your firm/ any JV partner been penalized for delay in contractual performance since 1<sup>st</sup> April 2010 to Application submission deadline. If yes, please provide details in a separate sheet, as necessary.</p>	<p>Yes___/No _____</p>
<p>7. Has there been a termination of your firm's services for non-performance on a contract in the last 5 years? If Yes, please describe in detail in a separate sheet, as necessary.</p>	<p>Yes___/No _____</p>
<p>8. Please confirm that you agree to the provisions of the Government of India guidelines dated 7<sup>th</sup> December 2015 on IDEAS Lines of Credit</p>	<p>Confirm:</p> <p>Yes___/ No ____</p>



**Certificate of eligibility and authority to sign Pre-qualification application**

I, *[Name of Authorized Signatory]*, certify that I am *[Title]* and Authorized Signatory of *[Name of Applicant or JV member as applicable]*. By signing the Application Submission Form under IFP No *[insert IFP No.]* and on behalf of *[Name of Applicant/ JV member]* I also certify that all information stated here and in the Application Document is accurate and true and that signing the Application Submission Form is within the scope of my powers as *[Title]* and Authorized Signatory.

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*(Signature)*

*[Name of Authorized Signatory]*  
*[Title]* and Authorized Signatory

Date: