

# **Application Document**

for

Prequalification of Project Management Consultant (PMC) including preparation of Detailed Project Report (DPR) for the project of Strengthening of Agriculture Mechanization Service Centres in Ghana

**Export-Import Bank of India**

**Date: October 18, 2019**

**INVITATION FOR PREQUALIFICATION OF  
CONSULTANTS FOR PROJECT MANAGEMENT CONSULTANT (PMC) INCLUDING  
PREPARATION OF DETAILED PROJECT REPORT (DPR) FOR  
GOVERNMENT OF INDIA LINE OF CREDIT (LOC) PROJECTS**

The Export-Import Bank of India [hereafter Exim Bank, or the Bank], on behalf of the Government of India (GOI), extends from time-to-time, concessional credit facilities under the Indian Development and Economic Assistance Scheme (IDEAS) to overseas governments/ their nominated agencies in developing countries for financing projects involving procurement of goods, civil works, 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 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 Consultants for prequalification of Project Management Consultant (PMC) covering scope of preparation of Detailed Project Report (DPR) for Strengthening of Agricultural Mechanization Service Centres in Ghana under a Line of Credit extended to the Government of Ghana.

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 for NEFT	GOILOC-236/Ghana/CS-23

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 15:00hours, November 18, 2019 at the following address:

Mrs. Amita Dang  
Assistant General Manager  
Export-Import Bank of India  
Office Block, Tower 1  
7th Floor, Adjacent Ring Road  
Kidwai Nagar [East], New Delhi – 110023  
E-mail: [eximloc@eximbankindia.in](mailto:eximloc@eximbankindia.in)  
Website: [www.eximbankindia.in](http://www.eximbankindia.in)

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

**Part I.            Scope of Consultancy Services**

This Part includes a summary description and other data on this prequalification process and of the prospective 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 Project Management Consultant (PMC) including preparation of Detailed Project Report (DPR) for the project of Strengthening of Agriculture Mechanization Service Centres in Ghana

Invitation for Prequalification  
No.: GOILOC-236/Ghana/CS-23

Issued on: **October 18, 2019**

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## **Part I: Scope of Consultancy Services**

The Export-Import Bank of India (Exim Bank or the Bank), on behalf of the Government of India (GOI), has approved financing of a project out of a Line of Credit extended to the Government of Ghana for Strengthening of Agricultural Mechanization Service Centres in Ghana. A part of the LOC shall be utilized for Strengthening of Agricultural Mechanization Service Centres in Ghana for which Exim Bank now requests applications for prequalification from eligible Indian Consultants for Project Management Consultant (PMC) covering scope of preparation of Detailed Project Report (DPR). Refer to Part II ITA 4 for eligibility provisions.

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

Agriculture is an important contributor to the Ghanaian economy. It represents about 21% of country's Gross Domestic Product (GDP) and engages over 65% of the work force. The growth of the sector is significant in terms of employment generation, poverty reduction, food security and increased foreign exchange reserves. The true potential of the sector, however, remains largely untapped.

Under its Medium Term Agriculture Sector Investment Plan (METASIP), the Government of Ghana seeks to promote the adoption of improved technologies particularly by small holder farmers and strengthening both forward and backward value chain linkages. Various efforts are being made by the Government to accelerate the modernization of agriculture and to increase the overall agricultural productivity in the country. These approaches include; the strengthening of existing Agricultural Mechanization Service Centres (AMSECs) with machinery support and setting up more AMSECs to expand coverage of their operations across the country.

The proposed project will be based on strengthening of value chain where development of food processing industries would be complemented with other interventions like increasing mechanization level, improving irrigation facilities, upgrade existing storage infrastructure, training and capacity building of operator and managers of machinery/equipment, etc. for achieving increased production (productivity). These facilities would be accompanied by the desired support facilities and infrastructure required to ensure sustainability of these interventions. The following services are proposed to be provided at the regional level:

- Land development,
- Land/seedbed preparation,
- Crop management, maintenance and protection,
- Crop harvesting,
- Primary processing,
- Haulage and transportation of produce,
- Upkeep and facility maintenance,
- Training infrastructure facilities and
- Capacity building through training and skill development.
- Supply of Agricultural machinery

The project thus aims at enhancing Agricultural Mechanization and Reducing food wastages and post-harvest losses through value addition along the different segments of food processing and providing support for storage infrastructure, R&D (testing), capacity building, etc. This is planned to benefit the agricultural sector particularly farmers in the various regions by increasing the returns on investment (RoI) for farmers. The Project interventions would address issues broadly in the areas of:

- Increase mechanization at critical nodes of crop cultivation including gender friendly equipment to reduce drudgery and labour cost and increase farmers' productivity. The workshops would also be set up to ensure proper maintenance of the machines and equipment.
- Improve network and facilities for irrigation particularly for cereals and vegetables.
- Introduce food processing industry in systematic and planned manner which would enable the country in handling the surpluses of agricultural produce during peak period, reduce wastage and thereby improving availability of food throughout the year.
- Equip existing infrastructure such as warehouses and storage facilities with modern laboratory equipment for food quality assessment.
- Develop skill & build capacity of farmers, extension and Government officials and other stakeholders for effective mechanization management.

### **Components of the project:**

#### **1. Setting up of food Processing Units & equipping existing Warehouse Facilities:**

The project envisages the following processing facilities to be set:

- a) **Rice Mill of 4 MT/hr capacities with colour sorting/grading facility** – Nine (9) modern mills are proposed to be installed at the following identified regions – Northern, Upper East, Volta and Greater Accra.
- b) **Maize Processing Facilities (Maize Grit Unit with flour mill of 60 MT/Day – 24 hours) and Corn flake unit of 500 kg/batch of two hrs.** Six (6) units are proposed to be established at the following identified regions – Bono, Ahafo, Eastern, Central, Northern and Ashanti.
- c) **Cassava Processing Facility (40-50 MT/Day - 24 hour) to process cassava into industrial raw material (dried chips, flour etc)** for the pharmaceutical, confectionary and beverage industries. The facility is proposed to be established in the Ashanti, Eastern, Central, Volta, Bono and Ahafo regions.
- d) **Fish Meal (pellets) Processing centres (5010 MT/Day – 24 hours):** It is proposed that fish meal processing centres will be established in major fish farming communities for processing fish meal into pellets for inland fish farming.

- e) **Livestock and Poultry Vaccine Production Centres:** Ten (10) modern vaccine production centres are proposed to boost animal farming
- f) Additionally, existing fifty (50) **Warehousing facilities with storage capacities ranging from 1,000 MT to 10,000 MT** will be equipped with modern laboratory equipment for food quality assessment (aflatoxin, etc.) across the country. The processing centres are also proposed to be equipped with modern laboratory equipment for ensuring that food produced meets required quality standards.

## 2. **Capacity Building & Skill Development Infrastructure:**

- a) **Mechanical Maintenance & Fabrication Workshop (20No.):** Workshops aforementioned are to address concerns such as maintenance of agri-implements & machinery, frequent mechanical breakdowns, after-sale services etc. Twenty (20) fabrication workshops are envisaged to be set up (at least 1 in each region). These workshops shall be equipped with state-of-art machinery and equipment for fabrication, repair, maintenance & other purposes. This component will ensure effective maintenance of the expected machinery for AMSECs and subsequently improve the overall sustainability of the project.
- b) **Regional Level Training Centres (10 No.) & Capacity Building:** Availability of adequate skilled people is critical to the success and sustainability of the Project. It is thus proposed that at least 10 such regional Level Training Centres would be set up across regions to meet the demand for skilled manpower. The training centres would have infrastructure and facilities to impart technical training on: (a) machinery / equipment maintenance and repair; (b) rice milling, maize & soybean processing; (c) proper irrigation techniques and methods; (d) improved agriculture packaging practices, etc. Thus the project will support in providing technical training and skill development for all the stakeholders involved including farmers, extension officials, Governments officials, private sector operators etc.

## 3. **Strengthening the existing Agricultural Mechanization Service Centres (AMSECs) and setting up new centres at strategic locations:**

- a) In 2007, the Government of Ghana initiated the concept of Agricultural Mechanization Service Enterprise Centres (AMSECs) and has been providing agricultural machines to individual farmers and private enterprises through these specialized centres. By 2015, 89 AMSECs had been established in 62 districts across the 10 regions in the country. However, at present there is significant unmet demand for mechanized services along the value chain.
- b) Government of Ghana now intends to setup an additional 196 AMSECs across the 254 districts in the country. The AMSECs are expected to be equipped with modern agricultural machinery and implements such as tractors with matching implements (plough, harrows, trailers etc.), harvesting & threshing machines etc. This may be



based on Hub-n-Spoke model wherein some of the centres having heavy equipment may serve as hubs to smaller centres (spokes) in a region/regions.

- c) Government of Ghana intends to setup at least one operational AMSEC in each district. The list of machinery/equipment required will be prepared based on crops grown in specific locality and the related implements required for cultivation, management and harvesting of the same. The learning and experience of the existing AMSECs have also been considered concurrently.
- d) The existing AMSECs are faced with concerns of frequent breakdowns, poor after-sales services and issues such as poor availability of genuine spare parts leading to high downtimes and increased maintenance costs affecting the overall profitability and sustainability of the enterprise.

#### **Scope & demand of increased mechanization in Key Focus Crops**

- a) **Maize:** Maize is an important staple crop in Ghana. Besides the use for human consumption, it is a source of poultry and animal feed and for the manufacture of glucose and corn flakes. With the promotion and adoption of appropriate mechanization technologies on maize production such as Ridge Planters, Seed Drills, Rotovators, Self-Propelled Combine Harvesters, Maize de-huskers cum Shellers, it is envisaged to increase productivity, reduce drudgery, lower operating cost and minimized post-harvest losses.
- b) **Rice:** Rice is one of the most important cereals in Ghana. Current national average grain yield for rice is 2.4t/ha against achievable potential of up to 6.5t/ha. The traditional methods of rice cultivation in Ghana are high in cost, low in efficiency and labour intensive. Beside land preparation there is the need to expand the scope of mechanization to cater for other operations such as cultivation, planting, harvesting and processing. Adoption of Levellers, Bund formers, Combine harvesters, Rice threshers, etc. for rice cultivation calls for intensified promotion.
- c) **Soybean:** Soybean is a newly emerging crop with multiplicity of usage particularly for human consumption and animal feed in the country. The crop is gaining grounds both in terms of area under cultivation and profitability. Soybean requires deep and loose seedbed preparation for cultivation. Traditionally, the widespread method of manually tilling the soil is normally adopted coupled with drudgery and tedium. However, the adoption of mechanized systems along the value chain will enhance land preparation, planting, crop maintenance, harvesting and primary processing operations to be done efficiently and effectively. This will eventually lead to timeliness of field operations, create employment opportunities, boost productivity and enhance farmer's income.

#### **4. Improving irrigation networks and making irrigation equipment available to the farmers through AMSECs:**

- a) Despite the appreciable irrigation potential, the proportion which has been tapped in Ghana is yet highly insignificant. Weather condition is a prevailing threat to

farmers who rely solely on rainfed farming system. The situation is worsened during drought conditions. It is evaluated that less than 0.5% of the arable land (i.e. 2% equivalent of estimated irrigation potential) is irrigated.

- b) The proposed irrigation development (sprinkler & drip irrigation system) sub-component of the AMSECS is envisaged to thrust higher crop intensity as well as enhanced productivity. Besides ensuring food security, also leads to regional, social, economic and environmental development. Sprinkler & drip irrigation systems with submersible pumps are proposed to be provided under the project. This sub component is thus envisaged to cover a total area of about 1000 ha.
- c) **Drip irrigation:** This is a technology for irrigating plants root zone through emitters fitted on a network of pipes (mains, sub mains and laterals). The emitting devices could be drippers, micro sprinklers, mini sprinklers, microjects, misters, fan jets, micro sprayers, foggers and emitting pipes which are designed to discharge water at prescribed rates. The choice of emitters will depend on the specific crop water requirements. Additionally, the choice of emitting systems depends on water requirements, plant spacing, soil type and water quality. Drip irrigation can be practiced on variety of crops especially in flowers, vegetables, orchard and plantation crops. Each unit of drip irrigation system with submersible pumps is envisaged to irrigate an area of about 1 hectare.
- d) **Sprinkler irrigation:** Under sprinkler irrigation, pressurized water is distributed to plant through a set of nozzles attached to a network of aluminium or poly ethylene pipes. These systems are suitable for irrigating crops where plant density is very high and the adoption of drip irrigation may not be economical. Conventionally, sprinkler irrigation has been widely used for irrigating cereals, pulses, oil seeds and other field crops.

## **5. Procurement of Farm Machinery and Equipment to support operations of AMSECS :**

The use of farm machinery and equipment if properly oriented will reduce drudgery and enhance productivity in most agricultural production systems. Mechanising fields and post-harvest operations in agriculture is essential to improve productivity, enhance the timeliness of production and improve the quality of produce to commensurate the volumes and quality.

The common farm mechanization activity in Ghana is ploughing the land with a tractor and to a limited extent harrowing. However, to attain the full benefits of mechanization culminating into productivity, an efficient and business-oriented mechanization services has to be developed and promoted to offer farmers timely services along the entire crop production and post-harvest chain.

To ensure, the AMSECS have access to the full complement of farm mechanization, the project will procure range of agricultural machinery and equipment including; tractors, ridgers, rotovators, planters, seed drills, boom sprayers, combine harvesters, etc. for the AMSECS.

## **B] Scope of Work**

### **I) Description of Scope for Preparation of Detailed Project Report (DPR)**

Detailed Project Report (DPR) for:

- a) Setting up of Food Processing Units, Infrastructure for Capacity Building & Skill Development for Strengthening of AMSECs in Ghana.
- b) Procurement and Supply of farm machinery and irrigation equipment for strengthening the existing AMSECs and improving irrigation network in Ghana.

The scope for preparation of Detailed Project Report (DPR) shall broadly include but not limited to the following:

- The social, economic and technical rationale of the proposed project;
- A detailed cost break-up along with detailed justification under each head;
- Availability of land for the proposed project / units, as also, details of access/right of way to the site;
- Review the farm machinery needs (quality and quantity) of farmers.
- Requirement and availability of raw materials and intermediate inputs
- Review farmers' economic ability to access farm mechanisation equipment/services
- Recommend sustainable methods for farmers acquisition of farm equipment/services
- Requirement and availability of utilities like water, electricity, sewerage, etc.;
- Requirement and availability of skilled and unskilled manpower in the maintenance and management of equipment and infrastructure.
- Commitment from various Ministries of the host country for implementation of the project, such as tax exoneration, allotment of land, environmental clearances, security to Indian personnel, clearance of goods from Customs Clearance Offices and its transportation to the site;
- The DPR would need to evaluate the technical and financial sustainability plan of the proposed project, the developmental benefits arising from the project and the capability of the host Government to ensure smooth handling of the project post implementation;
- Environment impact assessment (EIA) and resettlement of populace (if necessary);
- Availability of the major project components from Indian entities, along with the names of established and reputed Indian suppliers conforming to the requirement of 75% Indian Content;
- Financial and technical feasibility of the proposed project;
- Benefits to the country of domicile and the locality of the project;
- Consultant to complete the detailed requirement by conducting site specific surveys;
- Consultant to assess access to various regions for material/equipment transport;
- Various route and modes of transport available to transport material from India to Ghana.
- Any other specific requirements as suggested by the Borrower.

## **II) Description of Scope for Project Management Consultant (PMC) services**

The services of the PMC is for the project, setting up of Food Processing Units, Infrastructure for Capacity Building & Skill Development for Strengthening of AMSECs in Ghana shall broadly include but not limited to the following:

- Tender Engineering, including Preparation of Technical Specifications, Tender documents;
- Assistance in Tender evaluation and recommendation of award of Engineering Procurement and Construction (EPC) contract;
- Technical assistance in finalization of Bills of Quantities (BOQ);
- Review of designs;
- Synchronization of shipments from India by EPC contractor in tandem with physical progress and site preparedness.
- Inspection of materials at manufacturer's works before dispatch to site;
- Supervision of civil works, and monitoring of implementation of the project;
- Certification of work progress and invoices including the requirement of 75% Indian Content in each contract;
- Weekly/monthly/quarterly progress reports during the implementation of the project;
- Flagging of foreseen delays in the project on timely basis;
- Recommend a sustainable business and management module for ownership and day to day management.
- Monitoring of training / skill development activities carried out by EPC contractor;
- To ensure adoption of and adherence to internationally accepted best practices while setting up of laboratories and testing centres;
- Evaluation of operations and maintenance;
- Monitoring Post-commissioning stages of a project;
- Any other specific requirements specified by the Borrower in tender documents.

## **C] Contract execution period**

The assignment for preparation of the Detailed Project Report (DPR) will be completed within a period of six (6) months. **The PMC services will commence only after approval of the DPR by Government of India.** The PMC services will commence with preparation of tender documents until the end of the Defects Liability Period (DLP). The total duration of the Contract i.e. for preparation of the DPR and PMC services is expected to be 30 months + 12 months DLP. There will be separate contracts for DPR and PMC scope.

## **D] Project Authority**

Ministry of Food and Agriculture, Government of Ghana is the Project Authority.

## **E] Application**

The Applicant is required to apply for both (a) preparation of the Detailed Project Report (DPR) and (b) Project Management Consultant (PMC) services. Applications for

Prequalification received only for preparation of DPR or only for PMC shall not be considered and are liable for rejection.

**F] GOI Guidelines**

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

- 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 Consultancy Services and subject to the provisions of this Application Document.
- 3. Ethics and Integrity**
  - 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 acts<sup>1</sup>, 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.
  - 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.
  - 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,
    - a. shall reject any Application for prequalification or proposal to award a contract in connection with the subsequent procurement process, as applicable; and/or
    - b. may declare an Applicant, temporarily or permanently, ineligible to be awarded future contracts under Bank funding.

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

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

- 4.1 This prequalification exercise is open to only Indian Applicants in accordance with the provisions of ITA 4.4. Any form of association by the Applicant with ineligible entities either during this prequalification process or subsequent bidding process may be liable for rejection.
- 4.2 For the purpose of applying the eligibility criteria listed in this article 4, “Applicant” would include the single entity or in case of a joint venture (“JV”), each member of the JV, involved or intended to be involved with this prequalification process (as mentioned in Form A.1.2 Applicant’s/ JV Member’s Information Form), for any part of the prospective contract(s) including related services.
- 4.3 An Applicant may be a single entity or a combination of entities in the form of a JV either existing or with the intent to enter into a JV supported by a letter of intent or JV Agreement listing out the names of all the JV members. In the case of a JV, all members shall be jointly and severally liable for the execution of the 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 post the prequalification process (i.e. including, during bidding process and/or Project implementation phase), 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 (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 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**

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| <b>5. Contents of this Document</b>           | <p>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.</p> <ul style="list-style-type: none"> <li>• Part I. Scope of Consultancy Services</li> <li>• Part II. Instructions to Applicants (ITA)</li> <li>• Part III. Data Sheet (DS) to ITA</li> <li>• Part IV. Prequalification Criteria and Requirements</li> <li>• Part V. Forms</li> <li>• Part VI. Questionnaire for Applicants</li> </ul> <p>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.</p> <p>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.</p> |
| <b>6. Clarifications</b>                      | <p>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 <b>DS</b>. 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.</p> <p>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.</p>   |
| <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</p>   |

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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|--|---|
| <b>8. Cost towards Application</b>                             | 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.  |
| <b>9. Language</b>   | 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.   |
| <b>10. Documents constituting the Application</b>              | 10.1 The Application shall comprise the following: <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>                         | 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.   |
| <b>12. Documents Evidencing the Applicant's Eligibility</b>    | 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).   |
| <b>13. Documents Evidencing the Applicant's Qualifications</b> | 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. |
- 13.2 Wherever a monetary amount is to be stated, Applicant should indicate the USD equivalent using the rate of exchange determined as follows:
- (a) Exchange rates shall be taken from the publicly available source identified in the **DS**. Any error in determining the exchange rates in the Application may be corrected by the Bank during evaluation;
  - (b) For data related to financial statements, the amounts shall be mentioned in Indian Rupees (INR). Equivalent amount in USD

shall be arrived at using the exchange rate as on 31st March of respective financial year as specified in the **DS**;

- (c) For data related to contracts signed in the current financial year, unless otherwise specified in the **DS**, the exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall be used to arrive at the USD equivalent; 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 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-contractors(s), if any, proposed by the Applicant will not be considered for evaluation of the Application.
- 22.3 Only the qualifications of the Applicant, in the capacity as prime Consultant/ member of JV to the project employer, shall be considered. In particular, the qualifications of a parent or any other affiliated company of the Applicant, who is not member of the JV 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.

**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 Proposals.

Part III. Data Sheet (DS) to ITA	
A. General	
ITA 2.1	<p>The identification of the Invitation for Prequalification [IFP] is:  <b>GOILOC-236/Ghana/CS-23</b></p> <p>The Bank's address is:  Export-Import Bank of India  Office Block, Tower 1  7th Floor, Adjacent Ring Road  Kidwai Nagar [East]  New Delhi – 110023  Tel: +91 11-2460 7700/24607750  Email: <a href="mailto:eximloc@eximbankindia.in">eximloc@eximbankindia.in</a>  Website: <a href="http://www.eximbankindia.in">www.eximbankindia.in</a></p>
ITA 4.3	<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 (JV) based on a memorandum of understanding. In case of unincorporated JV, 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>- Confirmation of Joint and Several Liability of all members of the JV</li> </ul> <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 Consultants and non-prequalified Consultants or any other entity is not allowed subsequent to prequalification stage. No change of JV members or change in percentage (%) of share in JV is allowed subsequent to prequalification. A member of JV shall not be permitted to participate either in individual capacity or as a member of another JV in the same prequalification process.</p> <p>The JV 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 JV during the prequalification process, tendering process and, in the event the JV is awarded the Contract, during contract execution.</p> <p>In the event of award of final contract to any JV, all the payments to the JV shall be made to the bank account of the JV and not to the account of individual member(s).</p> <p>The Joint Venture Agreement shall in all respect be governed by and interpreted in accordance with Indian Laws.</p>

ITA 4.6	<p>A list of debarred firms and individuals by:</p> <p>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>
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## B. Contents of the Application Document

ITA 6.1	<p>For <b>clarification purposes</b>, the Bank's address is:</p> <p>Ms. Amita Dang Assistant General Manager Export-Import Bank of India Office Block, Tower 1 7th Floor, Adjacent Ring Road Kidwai Nagar [East] New Delhi – 110023 E-mail: <a href="mailto:eximloc@eximbankindia.in">eximloc@eximbankindia.in</a></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><b>i) On-line mode of Application</b> The applicant shall submit the application through Exim Bank's portal <a href="https://locprocure.eximbankindia.in">https://locprocure.eximbankindia.in</a></p> <p>For details for submitting Online Application, please refer the above portal.</p> <p><b>Minimum Requirements:</b></p> <ol style="list-style-type: none"> <li>1. Computer/Laptop with Internet connection.</li> <li>2. Operating System: Windows Version: Windows 7/8/10 – 32 or 64 Bit.</li> <li>3. Java Version: 1.8 or above</li> <li>4. Mozilla version should be 45.0 and above(x86 only i.e. OS of 32 Bit Version)</li> <li>5. Digital Certificate: Class III, Signing + Encryption and it should be organizational certificate.</li> </ol>
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ITA 10.1 (d)	<p><b><u>For any Online technical clarification, kindly contact:</u></b></p> <p>Bob EProcurePvt. Ltd. 3 / 4, 3<sup>rd</sup> Floor, Maruthi Towers, Madivala, SBM, Bangalore Karnataka – 560069</p> <p>Contact Email: <a href="mailto:pgsupport@bobeprocure.in">pgsupport@bobeprocure.in</a></p> <p><b>ii) <u>Off-line mode of Application</u></b></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><b>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.</b></p>
ITA 13.2(a)	<p>The source for determining exchange rates is: For conversion of foreign currency / Indian rupees (INR) to US Dollar, the Applicants shall use the Reference Rates of Foreign Currency published by Financial Benchmark India Private Ltd (FBIL) (<a href="https://www.fbil.org.in/">https://www.fbil.org.in/</a> )</p> <p>In case a particular currency rate is not published by FBIL, then the selling rate of such currency shall be taken from the following website: <a href="http://www.oanda.com">http://www.oanda.com</a></p>



ITA 13.2(b) & (d)	Applicants shall use the following rates for conversion between USD and INR: <table><tr><td></td><td>USD 1 = INR</td><td>1 INR = USD</td></tr><tr><td>31-Mar-11</td><td>44.6500</td><td>0.0224</td></tr><tr><td>31-Mar-12</td><td>51.1565</td><td>0.0195</td></tr><tr><td>31-Mar-13</td><td>54.3893</td><td>0.0184</td></tr><tr><td>31-Mar-14</td><td>60.0998</td><td>0.0166</td></tr><tr><td>31-Mar-15</td><td>62.5908</td><td>0.0160</td></tr><tr><td>31-Mar-16</td><td>66.3329</td><td>0.0151</td></tr><tr><td>31-Mar-17</td><td>64.8386</td><td>0.0154</td></tr><tr><td>31-Mar-18</td><td>65.0441</td><td>0.0154</td></tr><tr><td>31-Mar-19</td><td>69.1713</td><td>0.0145</td></tr></table>		USD 1 = INR	1 INR = USD	31-Mar-11	44.6500	0.0224	31-Mar-12	51.1565	0.0195	31-Mar-13	54.3893	0.0184	31-Mar-14	60.0998	0.0166	31-Mar-15	62.5908	0.0160	31-Mar-16	66.3329	0.0151	31-Mar-17	64.8386	0.0154	31-Mar-18	65.0441	0.0154	31-Mar-19	69.1713	0.0145
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31-Mar-19	69.1713	0.0145																													
ITA 13.2(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>71.435</td><td>0.0139</td></tr></table>	USD 1 = INR	1 INR = USD	71.435	0.0139																										
USD 1 = INR	1 INR = USD																														
71.435	0.0139																														
ITA 14.1	<p>Additionally, one (1) copy in pen drive shall also be submitted.</p> <p>The prequalification application document (off line version) shall be submitted in <b>spiral or hard bound form</b> 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>																														
ITA 16.1	<p>Submission of Application is required in <b>dual mode i.e. on-line as well as off-line</b> as mentioned in ITA 10.1(d).</p> <p><b>The deadline for Application submission is:</b></p> <p>Date: November 18, 2019</p> <p>Time: 15:00 hrs</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 ITA 2.1</p> <p><i>Attention: Ms. Amita Dang, Assistant General Manager</i></p>																														
ITA 18.1	<p>The opening of the Applications shall be at the Bank’s address as that indicated in ITA 2.1</p> <p><b>Date:</b> November 18, 2019</p> <p><b>Time: 15:30 hrs</b></p>																														

## **Part IV. Prequalification Criteria and Requirements**

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

### **Contents**

<b>A</b>	<b>General</b>	<b>27</b>
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<b>C</b>	<b>Financial Status and Capacity</b>	<b>29</b>
<b>D</b>	<b>Experience</b>	<b>30</b>
<b>E</b>	<b>Skilled Human Resources</b>	<b>32</b>

## A. General

<b>A.1 Nationality</b>	
<b>Requirement:</b>	<ul style="list-style-type: none"><li>➤ The Applicant's Nationality shall be in accordance with ITA 4.4</li><li>➤ Documentation and Attachments to be submitted as mentioned below</li></ul>
<b>Documentation to be submitted</b>	Form A.1.1 and A.1.2
<b>Attachments to be submitted</b>	<ul style="list-style-type: none"><li>➤ Articles &amp; Memorandum of Association, Certificate of Incorporation/ Partnership Deed (in case of Partnership firm) of the Applicant 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 and ITA 4.7.</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 Powers of Attorney 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>○ GST Registration details, as applicable: Self attested copy</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>2</sup> non-performance as a result of Applicant's default since <b>October 18, 2014</b>. (In case of JV, each member shall meet the requirement).</li> <li>➤ The Applicant shall inform Exim Bank of any such instances post submission of the Prequalification Application.</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 'Adjusted Net Worth' [as defined below] determined as per financial statements for the latest financial year 2018-19. <ul style="list-style-type: none"> <li>○ 'Adjusted Net Worth' shall be the Net Worth as per the latest financial statements <b>less</b> 25% of Net Pending Litigation Value.</li> <li>○ Net 'Pending Litigation Value' shall be the aggregate value of pending litigation across all cases, net of provisions made in the latest audited financial statements 2018-19.</li> </ul> </li> <li>➤ In case of JV, each member shall meet the above requirement.</li> <li>➤ Documentation and Attachments to be submitted as mentioned below.</li> </ul>
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>➤ The aggregate amount of awards against the Applicant, if any since <b>October 18, 2014</b>, shall not exceed 25% of net worth as per the latest audited financial statements. (In case of JV, each member shall meet the requirement.)</li> <li>➤ In case of JV, each member shall meet the above</li> </ul>

<sup>2</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.

	<p>requirement.</p> <p>➤ Documentation and Attachments to be submitted as mentioned below</p>
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 &amp; loss and annual reports for the last three financial years (FY 2016-17 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> <ul style="list-style-type: none"> <li>a) Positive Adjusted Net Worth for each of the last three (3) years as defined above;</li> <li>b) Profit (i.e. Profit Before Tax) for at least one (1) out of last three (3) years as defined above</li> <li>c) Annual Consultancy Revenue<sup>3</sup> in any one (1) of the last three (3) financial years as defined above, be not less than <b>USD 1.70 million</b>.</li> </ul> <p>In case of JV, requirement (a) and (b) above shall be met by each member and requirement under (c), each <b>member shall meet</b> at least 25%, lead member shall meet at least 40% and all members together shall meet 100%.</p> <p>(ii) Documentation and Attachments to be submitted as mentioned below</p>
Documentation to be submitted:	<p>Form 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 <b>three (3)</b> years as defined above. The financial statements shall:</p> <ul style="list-style-type: none"> <li>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).</li> <li>b) be independently audited and certified by the Statutory Auditors/ Chartered Accountants in accordance with applicable legislation.</li> </ul>

<sup>3</sup>Exchange rate prevalent as on the date of Invitation for Prequalification (IFP) shall apply

	<p>c) be complete, including all notes to the financial statements.</p> <p>d) correspond to accounting periods already completed and audited.</p>
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#### D. Experience

D.1 General Experience	
Requirement:	<ul style="list-style-type: none"> <li>➤ Experience as PMC [including preparation of DPR] <b>for Agriculture Development projects in India</b> in the role of Prime Consultant or JV member, to the main client, in India, during the last 7 years, starting from <b>October 18, 2012</b> and <b>up to application submission deadline</b>. (In case of JV, each member shall meet the requirement.)</li> <li>➤ Documentation and Attachments to be submitted as mentioned below</li> </ul>
Documentation to be submitted:	Form D.1.1
Attachments to be submitted:	<p>Final Acceptance Certificate/ Completion Certificate/ Testimonial Letters issued by the Project Authority for each contract listed in Form D.1.1 giving, inter alia, details of scope and value of work executed by the Applicant, contract start and completion dates.</p> <ul style="list-style-type: none"> <li>➤ 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.</li> <li>➤ Sub consultants' experience and resumes, if any, submitted with the application shall not be taken into account in determining the Applicant's compliance.</li> </ul>

D.2 Specific Experience	Refer Part I – Scope of Consultancy Services																		
Requirement:	<p><b>A. At least the number and value of similar contracts as mentioned below, demonstrating experience as Project Management Consultant (PMC) [including preparation of Detailed Project Report (DPR)] for Agriculture Mechanization projects as mentioned below, that have been satisfactorily completed as a prime consultant, or joint venture member<sup>4</sup> to the main client/project authority, between <b>October 18, 2012</b> and application submission deadline:</b></p>																		
	<table border="1"> <thead> <tr> <th></th> <th>Nos. of Contracts</th> <th>Value of Contract (USD mn)</th> </tr> </thead> <tbody> <tr> <td>Option I</td> <td>3</td> <td>1.70</td> </tr> <tr> <td colspan="3">OR</td> </tr> <tr> <td>Option II</td> <td>2</td> <td>2.13</td> </tr> <tr> <td colspan="3">OR</td> </tr> <tr> <td>Option III</td> <td>1</td> <td>3.40</td> </tr> </tbody> </table>		Nos. of Contracts	Value of Contract (USD mn)	Option I	3	1.70	OR			Option II	2	2.13	OR			Option III	1	3.40
		Nos. of Contracts	Value of Contract (USD mn)																
	Option I	3	1.70																
	OR																		
	Option II	2	2.13																
	OR																		
	Option III	1	3.40																
	<p>In case of JV, requirement shall be met by the JV 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 fully, can be aggregated to meet the requirement on number of contracts.</p>																		
	<p><b>B. Additionally, the Applicant in its role as PMC should demonstrate experience in the following activities:</b></p> <ul style="list-style-type: none"> <li>I) Setting up Rice Mill of 4 MT/hr <b>or</b> Maize 60 MT/day <b>or</b> Cassava 40 MT/day, processing facilities.</li> <li>II) Setting up modern laboratory facilities.</li> <li>III) Setting up fish meal (pellets) 5000 MT/day, processing centres.</li> </ul>																		
<p><b>C. Experience in Preparation of DPR:</b> In addition to the requirements at (A) &amp; (B) above, the Applicant should demonstrate at least one experience in, Preparation of DPR for Food Processing Units, <b>OR</b>, Preparation of DPR for Agricultural mechanization.</p>																			
<p><b>D. Additionally, in case of JV, each member of JV shall demonstrate experience of at least one contract covering one or more of the technical aspects listed in B(I), B(II), B(III), C(I) and C(II) above.</b></p>																			
<p><b>E. In case, completed project cited by an Applicant was supervised as member of JV/ Consortium, credentials for same shall be considered based on role and responsibility of the</b></p>																			

<sup>4</sup>Experience shall be considered on the basis of scope of work of the Applicant in that JV for the contract under reference.

	<p>Applicant under the contract.</p> <p>F. Sub consultants' experience and resumes, if any, submitted with the application shall not be taken into account in determining the Applicant's compliance.</p> <p>G. Documentation and Attachments to be submitted as mentioned below.</p>
Documentation to be submitted:	Form D.2.1 demonstrating the experience with respect to (A), (B) and (C) in Requirement above.
Attachments to be submitted:	<p>➤ Final Acceptance/ Completion Certificate/ Testimonial issued by the employer for each contract listed in Form D.2.1.</p> <p>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.</p>

### E. Skilled Human Resources

Requirement:	<p>➤ Applicant must demonstrate that it can deploy personnel for the key positions that meet the following requirements:</p> <p><b><u>DPR manpower requirement:</u></b></p> <table><tr><th>Proposed position</th><th>Minimum Desirable Qualification</th><th>Minimum Relevant Experience (in years)</th><th>Number of Positions Required</th></tr><tr><td>Team Leader</td><td>MSc. in Agricultural Engineering.</td><td>The Expert should have minimum 20 years of experience in similar projects</td><td>1</td></tr><tr><td>Procurement Expert</td><td>MSc. in Supply Chain / Logistics Management</td><td>The Expert should have minimum 10 years of experience in procurement/supply of Agricultural/Irrigation Machinery/Equipment</td><td>1</td></tr><tr><td>Agriculture Expert</td><td>MSc. in Agriculture</td><td>The Expert should have minimum 15 years of experience in similar projects</td><td>1</td></tr><tr><td>Farm Mechanization Experts</td><td>MSc. or Equivalent in Farm Mechanization/ MBA in Agriculture Marketing / MBA in</td><td>The Expert should have minimum 15 years of experience in similar projects</td><td>2</td></tr></table>				Proposed position	Minimum Desirable Qualification	Minimum Relevant Experience (in years)	Number of Positions Required	Team Leader	MSc. in Agricultural Engineering.	The Expert should have minimum 20 years of experience in similar projects	1	Procurement Expert	MSc. in Supply Chain / Logistics Management	The Expert should have minimum 10 years of experience in procurement/supply of Agricultural/Irrigation Machinery/Equipment	1	Agriculture Expert	MSc. in Agriculture	The Expert should have minimum 15 years of experience in similar projects	1	Farm Mechanization Experts	MSc. or Equivalent in Farm Mechanization/ MBA in Agriculture Marketing / MBA in	The Expert should have minimum 15 years of experience in similar projects	2
Proposed position	Minimum Desirable Qualification	Minimum Relevant Experience (in years)	Number of Positions Required																					
Team Leader	MSc. in Agricultural Engineering.	The Expert should have minimum 20 years of experience in similar projects	1																					
Procurement Expert	MSc. in Supply Chain / Logistics Management	The Expert should have minimum 10 years of experience in procurement/supply of Agricultural/Irrigation Machinery/Equipment	1																					
Agriculture Expert	MSc. in Agriculture	The Expert should have minimum 15 years of experience in similar projects	1																					
Farm Mechanization Experts	MSc. or Equivalent in Farm Mechanization/ MBA in Agriculture Marketing / MBA in	The Expert should have minimum 15 years of experience in similar projects	2																					



		Agri-Business		
	Agro Processing Expert	MSc. in Agriculture/ Food Technology/Agro Processing or other relevant field	The Expert should have minimum 15 years of experience in similar projects.	2
	Mechanical Engineer	BSc. in Mechanical Engineering or other relevant field	The Expert should have minimum 15 years of experience in similar projects.	1
	Socio – Economist Expert	MA/MSc. in Sociology and Economist or other relevant field	The Expert should have minimum 15 years of experience in similar projects.	1
<b><u>PMC manpower requirement:</u></b>				
	<b>Proposed position</b>	<b>Minimum Desirable Qualification</b>	<b>Minimum Relevant Experience (in years)</b>	<b>Number of Positions Required</b>
	Agri. Business Expert	MSc/MBA in Agri-Business/ Agriculture Marketing	The expert should have minimum of 25 years of experience in similar projects	1
	Financial expert	MBA in Finance or other relevant field.	The Expert should have minimum 15 years of experience in similar projects	1
	Agric. Economics Expert	Master in Agri Economics / Agri-Management	The Expert should have minimum 15 years of experience in similar projects	1
	Local Governance Expert	MSc/MBA in Local Governance / Master in Urban Studies / Master in Rural development	The Expert should have minimum 10 years of experience in similar projects	1
	Legal Expert	MSC/LLM in International commercial Law	The Expert should have minimum 10 years of experience	1

			in practicing law	
	Agricultural Engineer	MSc. in Agriculture engineering	The Expert should have minimum 10 years of experience in similar projects	1
	Reps. of Farmer Organizations	Certificate in Farm management or other relevant field	The Expert should have minimum 15 years of experience in similar projects	2
	Environmental Scientist	MSc. in Environmental science or other relevant field	The Expert should have minimum 15 years of experience in similar projects	1
	Procurement Expert	BSc. in Civil Engineering/Construction Management or other relevant field	The Expert should have minimum 10 years of experience in procurement of Agriculture/Irrigation and Water Resources Project.	1
	Infrastructure Engineer	BSc. in Civil/Construction Management or other relevant field	The Expert should have minimum 10 years of experience in agro - infrastructure/construction management.	1
<p>➤ The Applicant is required to submit an undertaking to engage and deploy personnel as above</p> <p>➤ Documentation and Attachments to be submitted as mentioned below.</p>				
Documentation to be submitted:	Form E.1.1.			
Attachments to be submitted:	None			

**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.	Skilled Human Resources	Evaluation on Pass/ Fail basis

## Part V. Forms

### Table of Forms

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## Application Submission Form

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

To: *[insert full name of Bank]*

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

- (a) We have examined and have no reservations to the Application Document, including Corrigendum No(s).\_\_\_\_\_, issued in accordance with Instructions to Applicants (ITA) 7: *[insert the number and issuing date of each corrigendum or "nil" if no corrigendum is issued]*.
- (b) We meet the eligibility requirements as stated in ITA 4.1, we have not been currently debarred/sanctioned in accordance with ITA 4.5. Subsequent to the deadline for Application submission, in case we are debarred/sanctioned, 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/ are not (strike off whichever is not applicable) 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.)
- (e) All information, statements and description contained in the Application are in all respect true, correct and complete to the best of our knowledge and belief. We understand that misrepresentation of facts in our Application and contravention to ITA 3, inter alia, may lead to rejection of our Application/ cancellation of prequalification.

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

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 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	

## Part V. Forms

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 Consultancy Turnover, certified by the Statutory Auditors of the Applicant	
D.1.1*	General Experience	
*	1. Final Acceptance Certificate/ Completion Certificate/ Testimonial Letters issued by the employer for each contract listed in Form D.1.1	
*	2. In case the contracts listed in D.1.1 are executed by the Applicant 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 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	Skilled Human Resources (Undertaking to deploy list of dedicated Human resources)	
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 and 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's JV Member's date of constitution: <i>[indicate date of constitution in dd/mmm/yyyy]</i>
Applicant's JV Member's legal address registered in India: <i>[insert street/ number/ town or city/ country]</i>
Applicant's 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>
<ol style="list-style-type: none"> <li>1. Attached are copies of original documents of Articles &amp; Memorandum of Association and 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.</li> <li>2. Included are the PAN, GST Registration details, organizational chart, a list of Board of Directors, and the beneficial ownership.</li> </ol>

\* 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]*

<b>Form B.1.1</b> 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: <i>[indicate complete contract name, number, date, value and any other identification]</i>  Name of Employer: <i>[insert full name]</i>  Address of Employer: <i>[insert street/city/country]</i>  Matter in dispute: <i>[indicate main issues in dispute]</i>  Party who initiated the dispute: <i>[indicate "Employer" or "Consultant"]</i>  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 "Consultant"]</i>  Result of dispute: <i>[Indicate if resolution was treated by the Adjudicator, under Arbitration or dealt with by the Judiciary and whether resolved in favour or against the Applicant]</i>	<i>[insert amount in 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 three (3) years, (amount in Indian Rupees)			
	FY 2015-16	FY 2016-17	FY 2017-18	
<b>Sources of Fund</b>				
ShareHolder'sFund				
Loan Fund				
<b>Application of Fund</b>				
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				
<b>Net Worth</b>				
Net Worth				
<b>Information from Income Statement</b>				
Income				
Expenditure				
Profit/(Loss) Before Tax (PBT)				
Profit/(Loss) After Tax (PAT)				
<b>Information From Cashflow Statement</b>				
Cash Flow from Operating Activities				
Cash Flow from Investments				
Cash Flow from Financing Activities				

## 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.			
	<b>Total Fund Based</b>			
	Non-fund Based Limits			
	a			
	b			
	C			
	<b>Total Non-fund Based</b>			
	<b>Total Fund and Non-fund Based Limit</b>			

- 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

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

**Financial documents**

The Applicant and its parties shall provide copies of audited financial statements for last three 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 legislations;
  - (c) be complete, including all notes to the financial statements;
  - (d) correspond to accounting periods already completed and audited.
- ☐ Attached are copies of financial statements for the **three** years required above; and complying with the requirements.
- ☐ Please note that printed Audited Annual Reports are to be certified by the Statutory Auditors duly signed and stamped.
- ☐ Please submit Statement of Consolidated Credit Facilities (sanctioned, utilised and available) from Lead Banker or respective Bank statements.



## Form C.1.3

### Annual Consultancy Turnover

*[The following table shall be filled in for the Applicant and for each member of a Joint Venture and shall be certified by the Statutory 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 Consultancy Revenue Data							
Year	Consultancy Revenue Amount (INR)			Total Revenue #	Consultancy Revenue as % of Total Revenue	Exchange Rate* (v/s USD)	Consultancy Revenue in USD equivalent
	By Contracts in India	By Overseas Contracts	Total Consultancy Revenue				
	[A]	[B]	C = [A+B]	[D]	C/D*100	[E]	C/E
2015-2016							
2016-2017							
2017-2018							

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

# Total Consultancy Revenue would include revenues from all consultancy contracts including DPR and PMC contracts.

## Form D.1.1

### General Experience

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

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

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

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

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

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

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

*[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 Consultant " or "JV Member"]</i>

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

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

## Form D.2.1

### Specific DPR/PMC Experience

*[The following table shall be filled in for contracts completed by the Applicant, and each member of a Joint Venture, as applicable, pursuant to Part IV, 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/yy yy]</i>		<i>Actual: [dd/mmm/yyyy]</i>
Role in Contract <i>[check the appropriate box]</i>	Prime Consultant <input type="checkbox"/>		Member in JV <input type="checkbox"/>
Total Project Value	<i>[insert total Project value in project currency]</i>		US\$ <i>[insert Exchange rate and total project value in US\$ equivalent]*</i>
If member in a JV, specify participation in total Project Value	<i>[insert a percentage amount]</i>	<i>[insert total project value in local currency]</i>	<i>[insert exchange rate and total project value 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]</i>		
Brief Scope of the Services as per Contract			
Narration of the Actual Services Rendered			
Key Staff Positions and Names of Staff			
Total Staff Months by your firm			
Total Staff Months by Associate firm (if applicable)			

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

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

## Form E.1.1

### Skilled Human Resources

*[Furnish details for key staff pursuant to Part IV, Prequalification Criteria and Requirements, Sub-Factor E.1In case of JV, 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 JV, 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.1. :

Position	No. required	Academic Qualification	Specialization	Years of Experience	Experience in Countries

*[To be attested by the authorized representative of the Applicant and in case of a JV, 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 each partner separately]*

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

<b><u>Eligibility, Confirmation and Other Important Information</u></b>	<b><u>Response*</u></b>
1. Is your firm, either singly or in joint venture currently empanelled or prequalified as Consultant for preparation of DPR and PMC. If yes, please provide details of Client, Country and Scope for Consultancy Services. 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	Confirm:  Yes___/No___ Yes___/No___

(iii) to be responsible for the performance of the work executed by your firm	Yes___/No___
(iv) to allow scrutiny of your work, related accounts, documentation by the Borrower/ Bank/ Government of India	Yes___/No___
10. 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	Confirm: Yes___/No___

*\* Note: To confirm, print "Yes", else "No"*

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*(Signature)*

*[Name of Authorized Signatory]*

*[Title of Authorized Signatory]*

**Date:**