

Application Document

for

Pre-qualification of Project Management
Consultant (PMC) for Development of Power
Distribution Project in (Kwilu) Bandundu Province
of the Democratic Republic of Congo

Export-Import Bank of India

Date: January 09, 2017

INVITATION FOR EXPRESSION OF INTEREST FOR GOVERNMENT OF INDIA LINES OF CREDIT (LOC) PROJECTS

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

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

In pursuance of the above, the Bank invites applications from Indian entities for Pre-Qualification of Project Management Consultants (PMC) for Development of Power Distribution Project in (Kwilu) Bandundu Province of the Democratic Republic of Congo (D.R. Congo) under an LOC extended to the Government of the Democratic Republic of Congo.

Completed applications in accordance with the provisions of the Application Document should be delivered physically by 1800 hours, February 08, 2017 at the following address:

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Deputy General Manager
Export-Import Bank of India
Lines of Credit Group
Maker Chambers IV, Floor 8
222 Nariman Point
Mumbai 400021
Ph: 91 – 22 – 2286 1564/ 1563
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This Application Document (AD) consists of the following Parts:

Part I. Scope of Consultant Services

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

Part II. Instructions to Applicants (ITA)

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

Part III. Data Sheet (DS) to ITA

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

Part IV. Pre-qualification Criteria and Requirements

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

Part V. Forms

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

Part VI Questionnaire for Applicants

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

Application Document for

**Pre-qualification of Project Management
Consultant (PMC) for Development of Power
Distribution Project in (Kwilu) Bandundu Province
of the Democratic Republic of Congo**

**Invitation for Pre-Qualification
No.: GOILOC-233/D.R.Congo/CS-02**

Issued on: January 09, 2017

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Part I: Scope of Consultant Services

On behalf of the GOI Exim Bank had extended an LOC to the Government of D.R.Congo, for construction of the Kakobola Hydro Electric Power Plant (H.E.P) in (Kwilu) Bandundu Province in D.R.Congo. A project for Development of Power Distribution from the Kakobola H.E.P is being envisaged now, for which Exim Bank seeks applications for pre-qualification from eligible firms for provision of Consultant Services. Refer Part II ITA 4 for eligibility provisions.

A] Description of the Project and consulting services

The scope of work for development of power distribution project to be undertaken under the GOILOC is as follows:

- a) 33 kV D/C line from Kakobola to PK-600
- b) 66 kV S/C line from PK-600 to Kikwit
- c) 66 kV S/C line from PK-600 to Idiofa
- d) 33 kV S/C line from Kakobola to Gungu
- e) 66/ 33 kV sub-station at PK-600
- f) 66/ 33 kV sub-station at Kikwit
- g) 66/ 33 kV sub-station at Idiofa
- h) 33 kV Switching Station at Gungu
- i) Power Distribution in Kikwit, Idiofa & Gungu

Brief description of the above project components is stated below:

a) 33 kV Double Circuit Line from Kakobola H.E.P – PK- 600 (Intermediate Substation):

- Approximate Line length from Kakobola H.E.P to PK – 600 is 40 Km.
- Supply of material for construction of 70 KM of line i.e. Conductor ACSR “Wolf”, Insulators, Hardware Fittings are already covered in the scope of Kakobola H.E.P out of which 40 KM of line material i.e. Conductor, Insulators, Hardware Fittings will be utilized for this line.
- Supply of steel Poles & Civil works (Detailed Survey, casting of Foundation, erection of Poles, stringing of Conductor etc.) for 40 km of 33 kV Double circuit Line
 - Steel Poles.
 - All Civil Works i.e. Details Survey, casting of Foundation, erection of Poles, stringing of Conductor etc.
- Testing and Commissioning of Line.

b) 66 kV Single Circuit Line from PK- 600 (Intermediate Substation) to Kikwit Substation

- Approximate Line length from PK – 600 to Kikwit is 63 km.
- Supply of Material for Construction of 70 Km of Double Circuit Line i.e. Conductors, Insulators, Hardware Fittings are already covered in the scope of Kakobola H.E.P out of which 40 km of double circuit line used for at Sl. No a) rest 30 km Double Circuit (60 circuit km) of line Material i.e. only Conductor will be utilized in this line and 33 kV hardware fitting for 60 circuit KM will be used in distribution systems in cities.
- Supply of 3 circuit km ACSR “Wolf” conductor
- Supply of Material & Civil works for 63 KM of 66 kV Single circuit Line:
 - Towers.
 - Insulators, Hardware Fitting, Earth wires etc
 - All Civil Works i.e. detailed Survey, casting of Foundation, erection of Tower, stringing of Conductor etc.
- Testing and Commissioning of Line.

c) 66 kV Single Circuit Line from PK- 600 (Intermediate Substation) to Idiofa Substation

- Approximate Line length from PK – 600 to Idiofa is 55 km.
- Supply of Material for Construction of 110 Km of Line i.e. Conductor, Insulators, Hardware Fittings are already covered in the scope of Kakobola H.E.P.
- 55 km ACER “DOG”, Conductor, supplied in Kakabola H.E.P to be utilized in this project and rest all hardware fitting to be utilized in local distribution system of cities.
- Supply of Material & Civil works for 55 KM of 66 kV Single Circuit Line:
 - Towers.
 - Insulators, Hardware Fitting, Earth wires etc
 - All Civil Works i.e. Detailed Survey, casting of Foundation, erection of Tower, stringing of Conductor etc.
- Testing and Commissioning of Line.

d) 33 kV Single Circuit Line from Kakobola H.E.P to Gungu

- Approximate Line length from Kakobola H.E.P to Gungu is 31 km.
- Supply of Material for Construction of 30 Km of Line i.e. Conductor, Insulators, Hardware Fittings (except poles) are already covered in the scope of Kakobola H.E.P.
- Supply of Steel poles for 30 km
- Ministry of Energy and water Resource (MOEWR) requested that Civil Works i.e. casting of Foundation, erection of poles, stringing of Conductor etc. for 30 km of line length to be considered in the present project scope which are not considered in the scope of Kakobola H.E.P.
- Supply of Material & Civil works for 1 km of 33 kV Single circuit Line:
 - Steel Poles.
 - Conductor ACSR “Rabbit”
 - Insulators & Hardware Fittings.

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- All Civil Works i.e. detailed Survey, casting of Foundation, erection of Poles, stringing of Conductor etc.
- Testing and Commissioning of Line.

e) 66/33 kV Intermediate Substation at PK – 600

- 1 NO. 33kV Indoor Switchgear panel comprise:
 - 2 no. incoming bay
 - 1 nos. outgoing bay
 - 1 no. station Transformer bay
 - 1 no. CVT
- 1 no. 10 MVA 66/33 kV Power Transformer
- 1 no. 66 kV Power Transformer bay with complete equipment
- 2 no. 66 kV Outgoing bay with complete equipment.
- 1 no. Bus CVT
- Wave Trap for communication system
- Control Room Building and Civil works complete in all respect

f) 66/33 kV Substation at Kikwit

- 1 no. 66 kV Incoming bay with complete equipment
- 1 no. Bus CVT, 1 no. VCT
- 1 no. 66 kV Power Transformer incoming bay with complete equipment
- 1 no. 10 MVA 66/33 kV Power Transformer
- 33kV Indoor Switchgear panel comprise:
 - 1 no. incoming feeder bay
 - 8 nos. outgoing feeder bay
 - 1 no. station transformer bay
 - 1 no. Bus CVT
- Wave Trap for communication system
- Control Room Building and Civil works complete in all respect

g) 66/33 kV Substation at Idiofa

- 1 no. 66 kV Incoming bay with complete equipment
- 1 no. Bus CVT, 1 no. VCT
- 1 no. 66 kV Power Transformer incoming bay with complete equipment
- 1 no. 2 MVA 66/33 kV Power Transformer
- 33kV Indoor Switchgear panel comprise:
 - 1 no. incoming feeder bay
 - 4 nos. outgoing feeder bay
 - 1 no. station transformer bay
 - 1 no. Bus CVT
- Wave Trap for communication system

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- Control Room Building and Civil works complete in all respect

h) 33 kV Switching Station at Gungu

- 33kV Indoor Switchgear panel comprise:
 - 1 no. incoming feeder bay
 - 3 nos. outgoing feeder bay
 - 1 no. station transformer bay
 - 1 no. Bus CVT
- 1 no. 100 kVA, 33/0.4 kV Station Transformer
- Control Room Building and Civil works complete in all respect

i) Power distribution in Kikwit, Idiofa & Gungu areas:

Power Distribution System Includes 33 kV distribution network, 0.4 kV distribution network, 33/0.4 kV Distribution Substation and household connection.

With the completion of the Detailed Project Report and definition of the project to be executed, a PMC is required for proper planning and implementation of pre-construction activities, supervision of the project progress & implementation, quality control, timely completion of all activities and successful commissioning of the project, training and transfer of technology. The scope of the services to be provided by the PMC shall include but not limited to the following:

- Pre-Tender engineering, including preparation of technical specifications, tender documents;
- Tender evaluation and recommendation of award of Engineering Procurement and Construction (EPC) contract;
- Technical assistance in route alignment, detailed survey, check survey, spotting of poles, finalisation of BOQ;
- Review of designs of poles, foundations, vetting of manufacturers drawings i.e. poles, insulators, conductor, hardware fittings etc.;
- Inspection of the material already supplied under Kakobola H.E.P and vetting it as fit for use;
- Inspection of pole materials, conductors, hardware fittings, insulators etc. at manufacturer's works before dispatch to site;
- Monitoring of shipment schedule;
- Certification of all EPC invoices;
- Construction supervision of civil works, erection, stringing, testing & commissioning of lines;
- Evaluation of operations and maintenance;
- Training & Transfer of Technology and
- Post-commissioning stages of a project.

B] Site and other Data

D.R. Congo is a Central African country, bordered by Central African Republic & South Sudan on the north, Uganda, Rwanda, Burundi & Tanzania on the East, Republic of Congo on the West and Angola & Zambia on the South. D.R. Congo's physical area is 2.34 million sq kms making it Africa's second largest country. It has a 37 km Atlantic coastline and its dominating feature is the Congo River Basin, extending over 3.83 mn sq kms. D.R. Congo has a population of over 77 million people and its capital city is Kinshasa. D.R. Congo's geographical position and vast physical area gives it a wide range of climates encompassing equatorial, tropical and mountainous. Its average rainfall is around 800 mm on the coast and more than 2000 mm in the Congo Basin. D.R. Congo's average annual temperature is between 24°C & 26°C, with extremes between 25°C & 30°C in the basin and between 15°C & 20°C in the uplands.

D.R. Congo is one of the few countries in the world with large hydroelectric resources. D.R. Congo's hydro-electric potential is around 100,000 MW of exploitable energy of which 44,000 MW is concentrated at the Inga site.

The project sites:

- a) Kakobola hydro-electric project is a run of the river scheme located near Kakobola village and it utilizes the natural water fall in the Lufuku River for power generation. The rating of Generator Transformers is 6.6 kV/33kV, 4500 kVA. The proposed switchyard site at the project site has a hilly terrain;
- b) The topography of the location of substation works, being PK-600, Kikiwit & Idiofa and the switching station at Gungu, is plain with primarily sandy soil. The sites of substations at Kikiwit & Idiofa and switching station at Gungu are owned by the Government, is connected with all-weather road, does not interfere with intensive land use like cropping and the location of residences, is sufficiently dispersed to provide a suitable separation distance to substation to avoid any potential noise or visual impact or any perceived health risk to residents;
- c) Basic data on the locations are as follows:

TOWN/CITY	POPULATION	GENERAL LOCATION
Kikiwit	1,030,599	Largest town & commercial centre of Bandundu Province. It is situated at Road National

TOWN/CITY	POPULATION	GENERAL LOCATION
		Highway-1 at a distance of 525 KM from Kinshasa
Intermediate Substation at PK-600	N.A. (PK-600 is a milestone)	Situated at Road National Highway-1 at a distance of 600 KM from Kinshasa
Gungu	111,099	Village in Kwilu district, located on the bank of Kwilu River. It is located at a distance of 186 KM south of Kikiwit town.
Idiofa	190,514	Located at a distance of about 135 KM east of Kikiwit and west of Lubue River.

- d) The part of the project area is relatively flat with undulations, with no forests. The general topography of the project area is hilly with hills of low height, gentle slopes, wide valleys, with number of rivers and natural streams. The transmission lines will mostly pass through terrain having grass, bushes and small trees. Some transmission lines may cross rivers, other small rivers & streams and the Inga-Katanga 500 kV HVDC transmission line. The proposed transmission line route is passing through land owned by the Government, due to which, *prima facie*, it is observed that there would be no problem for acquiring Right of Way for the project. Actual details of land acquisition shall be finalised only after detailed survey during implementation phase.
- e) Water would be available for civil works during construction as well as for drinking, sourced from natural streams/ rivers in the project area.
- f) There is no reliable source of electricity in the project area. Local sources of electricity available in towns, which are sourced from D.G sets and are available for limited duration, cannot be utilized for the project. Accordingly, major construction plant & machinery like concrete mixers, concrete vibrators, water pumps, etc., required for execution of civil works would be based on petrol/ diesel and not on electricity. D.G sets of appropriate capacity may be used for lighting and operating minor equipment like

Part I. Scope of Consultant Services

drilling machine, etc. At the substation site, EPC contractor shall make their own arrangement for electricity during implementation period.

- g) Coarse and fine aggregates required for construction of transmission, substation & distribution system may be met from streams/ rivers passing through the project area. No local production of cement is present in D.R.Congo. The EPC contractor shall have to import it from nearby countries through the port city of Dar-es-Salam (Tanzania) and then have it moved 2,500 KM to reach the project site by road, in which more than 50% is “kutchcha” (weak).

C] Consulting Service Period

The services of the PMC shall commence with the pre-tender design engineering activities until the end of the EPC contract. The duration of the services shall be eighteen (18) months.

D] GOI GUIDELINES

As per the GOI guidelines, goods and services for minimum 75% value of the contracts covered under these Lines of Credit, must be sourced from India. Applicants are advised to refer to the GOI guidelines mentioned above for details available at: <http://www.eximbankindia.in/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 Pre-qualification**
 - 2.1 With reference to the Invitation for Pre-qualification (IFP) indicated in Part III, Data Sheet (**DS**), this Application Document (“Application Document”) is being issued by the Bank to prospective applicants (“Applicants”) interested in submitting applications (“Applications”) for pre-qualification as per the scope described in Part I, Scope of Consultant Services and subject to the provisions of this Application Document.
- 3. Ethics and Integrity**
 - 3.1 The Bank requires Applicants to participate in this pre-qualification process with the highest standards of integrity and ethics and prohibits any corrupt, collusive and/or fraudulent practices. It is strictly forbidden to the parties involved in the pre-qualification process, by themselves or by a third party, to offer, ask or accept for itself or for a third party, financial or non-financial advantage or even direct or indirect promise, as offsets for pre-qualification, if susceptible of being qualified as criminal unlawful acts in accordance with national laws of any party involved.
 - 3.2 In pursuance of article 3.1 above, Applicants shall permit the Bank to inspect all accounts, records and other documents relating to the submission of the Application, bid submission (in case prequalified), and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.
 - 3.3 If, in accordance with the administrative procedures of the Bank, it is demonstrated that an Applicant in this pre-qualification process, or during the subsequent bidding for the contract(s) has

committed corrupt, fraudulent, or unethical practices, the Bank, inter alia, shall:

- a. reject any Application for pre-qualification or proposal to award a contract in connection with the subsequent procurement process, as applicable; and/or
- b. declare an Applicant involved in corrupt practices, temporarily or permanently, ineligible to be awarded future contracts under Bank funding.

4. Eligibility of Applicants

- 4.1 This pre-qualification exercise is open to only Indian Applicants in accordance with the provisions of ITA 4.4. Any form of association by the Applicant with ineligible entities either during this pre-qualification process or subsequent bidding process may be liable for rejection.
- 4.2 For the purpose of applying the eligibility criteria listed in this article 4, “Applicant” would include the single entity or in case of a joint venture (“JV”), each member of the JV, involved or intended to be involved with this pre-qualification process (as mentioned in Form A.1.2 Applicant’s/ JV Member’s Information Form), for any part of the prospective contract(s) including related services.
- 4.3 An Applicant may be a single entity or a combination of entities in the form of a JV either existing or with the intent to enter into a JV supported by a letter of intent listing out the names of all the JV members. In the case of a JV, all members shall be jointly and severally liable for the execution of the subsequent contract(s) in accordance with the respective contract terms. The JV shall be represented by an authorized representative who shall have the authority from all members of the JV so as to conduct all business for and on behalf of the JV during the pre-qualification process. The limit on the number of members in a JV would be as specified in the **DS**.
- 4.4 This pre-qualification exercise is open to only Indian Applicants. An Applicant shall be deemed to be Indian if the Applicant is constituted, incorporated or registered in, and operates in accordance with the provisions of the laws of India, as evidenced by its articles of incorporation and its registration documents, as the case may be.
- 4.5 An Applicant that has been debarred/ sanctioned by the Bank in pursuance of ITA 3.1, including debarment/ sanction by any

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government procuring entity/ corporation or Multilateral Development Agencies (MDA) in accordance with extant rules and procedures, shall be ineligible to be prequalified, during such period of time as the Bank/ sanctioning authority shall have determined.

- 4.6 The list of debarred firms and individuals by certain leading MDAs is available as specified in the **DS**. This may not be an exhaustive list of debarred entities but those which are made available centrally on the respective MDA's website. Additionally, there could be lists of debarred entities issued by various government departments/ procuring entities/ corporations and maintained offline.
- 4.7 The Applicant shall confirm that it has not defaulted on any loan to any Bank/ Financial Institution (FI) and its account has not been classified as Non-Performing Asset (NPA) with any Bank/FI. The Applicant has to further confirm that none of their companies/ promoters/ directors appear in Export Credit Guarantee Corporation (ECGC) Specific Approval List, Reserve Bank of India (RBI) Caution List, RBI Wilful Defaulter List (Suit filed as well as non-suit filed) and Credit Information Bureau India Ltd. (CIBIL) Defaulter List, updated from time to time. On being included in any of the above lists, the Applicants shall immediately inform Exim Bank on the inclusion and reasons for inclusion thereof.
- 4.8 An Applicant shall furnish such evidence of eligibility satisfactory to the Bank, as the Bank shall reasonably request.

B. Composition of the Application Document

5. Contents of this Document

- 5.1 This Application Document consists of the Parts indicated below, and which should be read in conjunction with any Corrigendum issued in accordance with ITA 7.
- Part I. Scope of Consultant Services
 - Part II. Instructions to Applicants (ITA)
 - Part III. Data Sheet (DS) to ITA
 - Part IV. Pre-Qualification Criteria and Requirements
 - Part V. Forms
 - Part VI. Questionnaire for Applicants
- 5.2 Unless obtained directly from the Bank, the Bank shall not be

Part II. Instructions to Applicants (ITA)

responsible for the completeness of the document, responses to requests for clarification, or Addenda to the Application Document in accordance with ITA 7. In case of any discrepancies, documents issued directly by the Bank shall prevail.

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

6. Clarifications

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

7. Corrigendum of Application Document

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

C. Preparation, Submission and Opening of Applications

8. Cost towards

- 8.1 The Applicant shall bear all costs associated with the preparation

Part II. Instructions to Applicants (ITA)

Application	and submission of its Application. The Bank will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the pre-qualification process.
9. Language	9.1 The Application documentation and printed literature that are part of the Application, if in another language, shall be accompanied by an accurate translation of the relevant passages in English language, which shall be the governing language.
10. Documents constituting the Application	10.1 The Application shall comprise the following: <ul style="list-style-type: none">(a) Application Submission Form, in accordance with ITA 11.1;(b) documentary evidence establishing the Applicant's eligibility, in accordance with ITA 12.1;(c) documentary evidence establishing the Applicant's qualifications, in accordance with ITA 13; and(d) any other document required as specified in the DS.
11. Application Submission Form	11.1 The Applicant shall complete an Application Submission Form as provided in Part V (Forms). This Form must be completed without any alteration to its format.
12. Documents Evidencing the Applicant's Eligibility	12.1 To establish its eligibility in accordance with ITA 4, the Applicant shall complete the eligibility declarations in the Application Submission Form and Forms A.1.1 and A.1.2, included in Part V (Forms).
13. Documents Evidencing the Applicant's Qualifications	13.1 To establish its qualifications in accordance with Part IV, Pre-qualification Criteria and Requirements, the Applicant shall provide the information requested in the corresponding Forms included in Part V. Each Form included in Part V shall be duly signed by the authorized representative of the Applicant. In case of JV, authorized representative of the respective member shall sign. Non compliance to this requirement may result in summary rejection of the Application. 13.2 Wherever a monetary amount is to be stated, Applicants should indicate the USD equivalent using the rate of exchange determined as follows: Value of single contract - Exchange rate prevailing on the date of the contract shall be used. Exchange rates shall be taken from the publicly available source

Part II. Instructions to Applicants (ITA)

identified in the **DS**. Any error in determining the exchange rates in the Application may be corrected by the Bank during evaluation.

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

14. Authorized Signatory and Number of Copies

14.1 The Applicant shall prepare one original of the documents comprising the Application as described in ITA 10 and clearly mark it "ORIGINAL". The original of the Application shall be typed or written in indelible ink and shall be signed by a person duly authorized to sign on behalf of the Applicant. In case the Applicant is a JV, the Application shall be signed by all members of the JV.

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 pre-qualification process indicated in the **DS** ITA 2.1.

15.2 The Bank will accept no responsibility for not processing any envelope that was not prepared as required in ITA 15.1 above.

16. Application Submission Deadline

16.1 Applicants may either submit their Applications by mail or by hand. Applications submitted electronically shall not be admissible. Applications shall be received by the Bank at the address and no later than the deadline indicated in the **DS**.

16.2 The Bank may, at its discretion, extend the deadline for the submission of Applications by amending the Application Document in accordance with ITA 7.

17. Late Applications

17.1 Applications received after the deadline for submission of applications shall not be admissible, and if received, shall be returned unopened to the Applicant.

18. Opening of Applications

18.1 The Bank shall open all Applications at the date, time and place specified in the **DS**. Applicants' representatives may be present during opening.

D. Procedures for Evaluation of Applications

- | | |
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| 19. Evaluation to be Confidential | <p>19.1 Information relating to the Applications, their evaluation and result shall be confidential and will not be disclosed to Applicants or any other person(s) not officially concerned with the pre-qualification process until the official notification of pre-qualification results is made in accordance with ITA 25.</p> <p>19.2 From the deadline for submission of Applications to the time of notification of the results of the pre-qualification in accordance with ITA 25, any Applicant who wishes to contact the Bank on any matter related to the pre-qualification process (except as specified in 20.1 below), may do so only in writing. Canvassing in any form will be grounds for disqualification.</p> |
| 20. Clarifications during Evaluation | <p>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.</p> <p>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.</p> |
| 21. Determination of Responsiveness of Applications | <p>21.1 The Bank may reject any Application which is not responsive to the requirements of the Application Document.</p> |

E. Evaluation of Applications and Pre-qualification of Applicants

- | | |
|---------------------------------------|---|
| 22. Evaluation of Applications | <p>22.1 The Bank shall use the criteria and requirements defined in Part IV, Pre-qualification Criteria and Requirements, to evaluate the qualifications of the Applicants, and no other methods, criteria, or requirements shall be used. The Bank reserves the right to waive minor deviations from the pre-qualification criteria if they do not materially affect the technical capability and financial resources of an Applicant to perform the contract.</p> |
|---------------------------------------|---|

- 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 contractor/ member of JV to the main client, shall be considered. In particular, the qualifications of a parent or other affiliated company that is not party to the Applicant under a JV in accordance with ITA 4.3 shall not be considered.
- 22.4 The qualification and experience of the Applicant for execution of contracts 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 pre-qualification process and reject all Applications at any time, without thereby incurring any liability to the Applicants.
- 24. Pre-qualification of Applicants**
- 24.1 All Applicants whose Applications substantially meet or exceed the specified qualification requirements will be pre-qualified by the Bank.
- 25. Notification of Pre-qualification**
- 25.1 The Bank shall notify the result of the pre-qualification process through letters/emails to the prequalified Applicants and to the applicants not meeting the prequalification criteria.
- 25.2 Applicants that have not been pre-qualified may write to the Bank no later than 15 calendar days after the date of intimation by the Bank, of the result of pre-qualification, to request the grounds on which they were not pre-qualified.
- 26. Subsequent Invitation for Bids**
- 26.1 The Bank shall forward the list of pre-qualified firms to the Borrower for subsequent invitation of bids.

Part III. Data Sheet (DS) to ITA	
A. General	
ITA 2.1	<p>The identification of the Invitation for Pre-qualification (IFP) is: GOILOC-233/D.R.Congo/CS-02</p> <p>The Bank is: Export-Import Bank of India Lines of Credit Group Maker Chambers IV, Floor 8 222 Nariman Point Mumbai 400021 Ph: +91 – 22 – 2286 1564/1563 Email: eximloc@eximbankindia.in Website: www.eximbankindia.in</p>
ITA 4.3	<p>The lead partner of the JV shall be the one with the highest share in the JV which shall not be less than 26%. The maximum number of other members in the JV shall be such that each of the other members should have at least 20% share. The JV can be either an incorporated JV company or an unincorporated consortium/ association (JVCA) based on a memorandum of understanding. In case of unincorporated JVCA, the share shall be determined based on the share in the proceeds of the contract (in terms of percentage) being bid for. In other words, if prequalified and invited to bid, the share of JV members in the contract in terms of value shall be in the proportion as stated above.</p> <p>The Letter of Intent to enter into a JV or JV agreement should contain, inter alia, the following:</p> <ul style="list-style-type: none"> - Names of the Lead Partner and each of the other members - Percentage share of each JV member - Confirmation of Joint and Several Liability of all members of the JV <p>The JV is permissible at PQ 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.</p>
ITA 4.6	<p>A list of debarred firms and individuals by: the World Bank is available on the website: http://www.worldbank.org/debarr</p> <p>The Asian Development Bank is available on the website: http://lnadbg4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&count=999</p>

	<p>the African Development Bank is available on the website: http://www.afdb.org/en/projects-and-operations/procurement/debarment-and-sanctions-procedures/</p> <p>the European Bank for Reconstruction and Development is available on the website: http://www.ebrd.com/pages/about/integrity/list.shtml</p> <p>the Inter-American Development Bank is available on the website: http://www.iadb.org/en/topics/transparency/integrity-at-the-idb-group/sanctioned-firms-and-individuals,1293.html</p>
B. Contents of the Application Document	
ITA 6.1	<p>For clarification purposes, the Bank's address is: Ms. Meghana Joglekar Deputy General Manager Export-Import Bank of India Lines of Credit Group Maker Chambers IV, Floor 8 222 Nariman Point Mumbai 400021 Fax: +91-22-2282 3394 Email : eximloc@eximbankindia.in Website: www.eximbankindia.in</p>
C. Preparation, Submission & Opening of Applications	
ITA 10.1 (d)	<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>

ITA 13.2	<p>The source for determining exchange rates is: For conversion of foreign currency / Indian rupees (INR) to US Dollar, the Applicants shall use the Reference Rates of Foreign Currency published by Reserve Bank of India (www.rbi.org.in)</p> <p>In case a particular currency rate is not published by Reserve Bank of India, then the selling rate of such currency shall be taken from the following website: http://www.oanda.com</p>
ITA 14.1	<p>Additionally One (1) copy in digital – in USB flash/ pen drive shall also be submitted.</p> <p>The pre-qualification application document shall be submitted in spiral or hard bound form only and not as loose sheets in plastic folders. All the pages shall be machine numbered and a table of contents shall be included in the beginning of each volume of documents referring the page numbers of the indexed items.</p>
ITA 16.1	<p>The deadline for Application submission is:</p> <p>Date: February 08, 2017</p> <p>Time: 18:00 hrs</p> <p>For application submission purposes only, the Bank's address is:</p> <p>Bank's address is the same as that indicated in 2.1</p> <p><i>Attention: Ms. Meghana Joglekar, Deputy General Manager</i></p>
ITA 18.1	<p>The opening of the Applications shall be at the Bank's address as that indicated in 2.1</p> <p>Date: February 09, 2017</p> <p>Time: 15:00 hrs</p>

Part IV. Pre-qualification Criteria and Requirements

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

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A. General

A.1 Nationality	
Requirement	<ul style="list-style-type: none"> • The Applicant's Nationality shall be in accordance with ITA 4.4 • Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted	Form A1.1 and A1.2
Attachments to be submitted	<ul style="list-style-type: none"> ➤ Articles & Memorandum of Association, Certificate of Incorporation/ Partnership Deed of the Applicant (and each of the JV members) in accordance with ITA 4.4 ➤ In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.3 and documents as above for each member of the JV

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

B. Past Contract Performance and Litigation

B.1 Past Contract Non-performance	
Requirement:	<ul style="list-style-type: none"> • There shall be no instance of contract¹ non-performance as a result of Applicant's default since April 01, 2011 (In case of JV, each member shall meet the requirement) • Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted:	Form B.1.1
Attachments to be submitted:	Documents establishing details included in Form B.1.1

B.2 Pending Contract Litigation	
Requirement:	<ul style="list-style-type: none"> • Applicant shall have a positive* adjusted net worth determined as per the financial statements for the financial year (FY 2015-16) and the contractual litigation value as considered below net of provision made in the audited financial statements for FY 2015-16: <ul style="list-style-type: none"> ○ Litigation value shall be deemed to be 25% of the aggregate value pending litigation across all contracts and net of provisions, this value will be deducted from the net worth to arrive at the adjusted net worth. • Documentation and Attachments to be submitted as mentioned below. <p><i>*Note: Net worth – [25% of Litigation Value – provisions already made] = positive</i></p>
Documentation to be submitted:	Form B.2.1
Attachments to be submitted:	Documents establishing details included in Form B.2.1

B.3 Contract Litigation History	
Requirement:	<ul style="list-style-type: none"> • A consistent history of court/arbitration award decisions related to contractual litigation against the Applicant² since April 01, 2011 is not desirable. • The aggregate amount of awards against the Applicant, if any since April 01, 2011, shall not exceed 20% of net

¹ 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.

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

Part IV. Pre-qualification Criteria and Requirements

	worth as per the latest financial statements. (In case of JV, each member shall meet the requirement) <ul style="list-style-type: none">• Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted:	Form B.3.1
Attachments to be submitted:	Documents establishing details included in Form B.3.1

C. Financial Status and Capacity

C.1 Financial Status	
Requirement:	<p>(i) The audited balance sheets and profit & loss account/ annual report for the last 3 financial years (FY 2013-14 to FY 2015-16) 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"> a) Positive net worth for each of the last three (3) years; b) Positive profit (i.e. Profit Before Tax) for atleast one (1) out of last five (3) years and c) Annual Consultancy Revenue in any one of the last three (3) financial years defined above, be not less than USD 1.97 million. <p>In case of JVCA, requirement (a) and (b) above shall be met by each member and requirement under (c), each member shall meet 25%, lead member shall meet 40% and all members together shall meet 100%.</p> <p>(ii) Documentation and Attachments to be submitted as mentioned below</p>
Documentation to be submitted:	Form C.1.1, and Form C.1.2 both certified by the statutory auditor of the Applicant (in case of JV, for each member of the JV).
Attachments to be submitted:	<p>The Applicant shall provide copies of audited financial statements for three years (FY 2013-14 to FY 2015-16). The financial statements shall:</p> <ul style="list-style-type: none"> ➤ reflect the financial situation of the Applicant or in case of JV for each member, and not an affiliated entity (such as parent company or group member). ➤ be independently audited and certified by the statutory Auditor/ Chartered Accountant in accordance with applicable legislation. ➤ be complete, including all notes to the financial statements. ➤ correspond to accounting periods already completed and audited.

D. Experience

D.1 General Experience	
Requirement:	<ul style="list-style-type: none"> Experience under PMC/ Lender's Engineer/ Owner's Engineer/ Supervision Engineer Contracts in the role of Prime Consultant or JV member to the main client, in India during the last 7 financial years, starting FY 2009-10 to FY 2015-16. (In case of JV, each member shall meet the requirement) Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted:	Form D.1.1 (to be prepared separately for experience in India and experience outside India)
Attachments to be submitted:	Final Acceptance Certificate issued by the employer for each contract listed in Form D.1.1

D.2 Specific Experience	Demonstrating experience relevant as PMC for power distribution project listed in Part I – Scope of Consultant Services																		
Requirement:	<p>(i) At least the number and value of similar contracts as mentioned below, for experience as PMC for power distribution projects that have been satisfactorily completed as a prime consultant, or joint venture member to the main client, between January 01, 2010 and application submission deadline.</p> <table><tr><td></td><td>Nos of Contracts</td><td>Value³ of each Contract (USD mn)</td></tr><tr><td>Option I</td><td>3</td><td>1.18</td></tr><tr><td colspan="3">OR</td></tr><tr><td>Option II</td><td>2</td><td>1.48</td></tr><tr><td colspan="3">OR</td></tr><tr><td>Option III</td><td>1</td><td>2.36</td></tr></table> <p>Above contracts shall collectively demonstrate experience as PMC/ Owner’s Engineer or similar role for project(s) involving:</p> <p>a) construction of 66 kV transmission lines;</p> <p>b) construction of Substation at a minimum voltage level of 66/33kV and 33/0.4kV Distribution Substations;</p> <p>c) construction of Switching Station at a minimum voltage level of 33kV;</p>		Nos of Contracts	Value³ of each Contract (USD mn)	Option I	3	1.18	OR			Option II	2	1.48	OR			Option III	1	2.36
	Nos of Contracts	Value³ of each Contract (USD mn)																	
Option I	3	1.18																	
OR																			
Option II	2	1.48																	
OR																			
Option III	1	2.36																	

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

Part IV. Pre-qualification Criteria and Requirements

	<p>d) construction of distribution system of 33kV and 0.4 kV.</p> <p>In case of JVCA, requirement shall be met by the JVCA on a combined basis i.e. contract values of each member shall not be aggregated but number of contract(s) by individual members meeting the value and technical aspects can be aggregated to meet the requirement on number of contracts.</p> <p>Notwithstanding the above, each member of JVCA shall demonstrate experience of at least one contract of 50% of the value indicated under Option I above demonstrating experience, inter alia, in one or more of the technical aspects mentioned in (a) to (d) above.</p> <p>(ii) Documentation and Attachments to be submitted as mentioned below</p>
Documentation to be submitted:	Form D.2.1
Attachments to be submitted:	Final Acceptance/ Completion Certificate/ Testimonial issued by the employer for each contract listed in Form D.2.1

E. Quality Assurance (Total marks: 100. Minimum Passing Marks: 70)

E.1 Quality Management System	Total Marks: 25
Requirement:	<ul style="list-style-type: none"> Information on ISO Certified Quality Management System shall be considered (in case of JV, at least for lead consultant) in determining suitability to be prequalified in the following manner: <ul style="list-style-type: none"> 10 marks per certification (max 25 marks) Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted:	Form E.1.1
Attachments to be submitted:	Self-attested copy of Quality Management System Certificate valid as on the deadline for submission of application.

E.2 Skilled Human Resources	Total Marks: 75																														
Requirement:	<ul style="list-style-type: none">Applicant must demonstrate that it can deploy personnel for the following tentative key positions, meeting the qualification and experience mentioned therein:<table><tr><th>Sr No</th><th>No of staff</th><th>Key personnel</th><th>Minimum qualification</th><th>Minimum experience</th></tr><tr><td>1</td><td>1</td><td>Project Manager (T&D)</td><td>Graduate in Electrical Engineering</td><td>15 years' specific experience in the power sector, with planning experience.</td></tr><tr><td>2</td><td>2</td><td>Electrical Engineer (T&D)</td><td>Graduate in electrical engineering</td><td>5 years' specific experience in the power sector, with planning experience.</td></tr><tr><td>3</td><td>2</td><td>Civil Engineer</td><td>Graduate in civil engineering</td><td>5 years' specific experience in the power sector</td></tr><tr><td>4</td><td>2</td><td>Sub Station Expert</td><td>Graduate in electrical engineering</td><td>5 years' specific experience in the power sector</td></tr><tr><td>5</td><td>2</td><td>Distribution Expert</td><td>Graduate in electrical engineering</td><td>5 years' specific experience in the power sector</td></tr></table>Information on Skilled Human Resources on the rolls of the Applicant shall be considered in determining suitability to be prequalified in the following manner:<ul style="list-style-type: none">15 marks per position (max 75 marks);	Sr No	No of staff	Key personnel	Minimum qualification	Minimum experience	1	1	Project Manager (T&D)	Graduate in Electrical Engineering	15 years' specific experience in the power sector, with planning experience.	2	2	Electrical Engineer (T&D)	Graduate in electrical engineering	5 years' specific experience in the power sector, with planning experience.	3	2	Civil Engineer	Graduate in civil engineering	5 years' specific experience in the power sector	4	2	Sub Station Expert	Graduate in electrical engineering	5 years' specific experience in the power sector	5	2	Distribution Expert	Graduate in electrical engineering	5 years' specific experience in the power sector
Sr No	No of staff	Key personnel	Minimum qualification	Minimum experience																											
1	1	Project Manager (T&D)	Graduate in Electrical Engineering	15 years' specific experience in the power sector, with planning experience.																											
2	2	Electrical Engineer (T&D)	Graduate in electrical engineering	5 years' specific experience in the power sector, with planning experience.																											
3	2	Civil Engineer	Graduate in civil engineering	5 years' specific experience in the power sector																											
4	2	Sub Station Expert	Graduate in electrical engineering	5 years' specific experience in the power sector																											
5	2	Distribution Expert	Graduate in electrical engineering	5 years' specific experience in the power sector																											

Part IV. Pre-qualification Criteria and Requirements

	<ul style="list-style-type: none"> Representative CVs of experts should be provided. CVs should incorporate, <i>inter alia</i>, qualifications, experience in the sector and should also list professional memberships/ accreditations and knowledge of foreign languages, countries of work experience; Other than the Key Personnel mentioned, information shall be provided on expert(s), such as Management Specialist, Quantity Surveyor, Architects, Technicians, Sociologist, etc. who might have to be engaged by the Consultant as may be required for carrying out the activities and discharging its duties successfully. The CVs should be signed in original, either by the respective personnel or by the authorised signatory of the Applicant/ JV. <p>In case of JV, the requirement shall be met on a combined basis.</p>
Documentation to be submitted:	Form E.2.1
Attachments to be submitted:	Documents/ Tables/ Charts demonstrating availability of Skilled Human Resources, number of staff, areas of expertise, years of experience, countries of work experience.

NOTE:

The Evaluation Criteria for Pre- Qualification of Applicants		
Sr. No.	Description	Remarks
A.	General	Evaluation on Pass/ Fail basis
B.	Past Contract Performance and Litigation	Evaluation on Pass/ Fail basis
C.	Financial Status and Capacity	Evaluation on Pass/ Fail basis
D.	Experience	Evaluation on Pass/ Fail basis
E.	Quality Assurance	Evaluation on Pass/ Fail basis

Part V. Forms

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Application Submission Form

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

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

To: *[insert full name of Bank]*

We, the undersigned, apply to be pre-qualified for the referenced IFP and declare that:

- (a) We have examined and have no reservations to the Application Document, including Corrigendum No(s)._____, issued in accordance with Instructions to Applicants (ITA) 7: *[insert the number and issuing date of each corrigendum or "nil" if no corrigendum is issued]*.
- (b) We meet the eligibility requirements as stated in ITA 4.1, we have not been currently debarred/sanctioned in accordance with ITA 4.5;
- (c) We confirm that we have not defaulted in any loan to any Bank/FI and our account has not been classified as Non-Performing Asset (NPA) with any Bank/FI. We further confirm that none of our companies/promoters/directors appear in ECGC Specific Approval List, RBI Caution List, RBI Wilful Defaulter List (Suit filed as well as non-suit filed) and CIBIL Defaulter List, updated from time to time. On being included in any of the above lists, we shall immediately inform Exim Bank on the inclusion and reason for inclusion thereof, in accordance with ITA 4.7;
- (d) We understand that you may cancel the pre-qualification process at any time and that you are neither bound to accept any Application that you may receive nor to invite the pre-qualified Applicants to bid for subsequent contract(s) subject to this pre-qualification process, without incurring any liability to the Applicants, in accordance with ITA 23.1.
- (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 pre-qualification.

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

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

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

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

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

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

Form A.1.1

Applicant Information Form

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

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

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

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

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

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

Form A.1.2

Applicant's/ JV Member's Information Form

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

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

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

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

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

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

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

Past Contract Non-Performance, Pending Litigation and Litigation History

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

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

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

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

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

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

Form B.1.1			
Non-Performed Contracts in accordance with Part IV, Pre-qualification Criteria and Requirements			
<input type="checkbox"/> Contract non-performance did not occur since 1 st April 2011 specified in Part IV, Pre-qualification Criteria and Requirements, Sub-Factor B.1.			
<input type="checkbox"/> Contract(s) not performed since 1 st April 2011 specified in Part IV, Pre-qualification Criteria and Requirements, requirement B.1			
Year	Non- performed portion of contract	Contract Identification	Total Contract Amount (current value, currency, exchange rate and US\$ equivalent)
<i>[insert financial year]</i>	<i>[insert amount and percentage]</i>	Contract Identification: <i>[indicate complete contract name/ number, and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Reason(s) for non-performance: <i>[indicate main reason(s)]</i>	<i>[insert amount]</i>

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

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

Form C.1.1

Financial Status and Capacity

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

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

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

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

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

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

1. Financial data

Type of Financial information in (currency)	Historic information for last 3 years, (amount in Indian Rupees)		
	FY 2013-14	FY 2014-15	FY 2015-16
Statement of Financial Position (Information from Balance Sheet)			
Total Assets (TA)			
Total Liabilities (TL)			
Total Equity			
Current Assets (CA)			
Current Liabilities (CL)			
Working Capital (WC)			
Net Worth (NW)			
Information from Income Statement			
Total Revenue (TR)			
Profit Before Interest & Taxes (PBIT)			
Profits Before Taxes (PBT)			

2. Financial documents

The Applicant and its parties shall provide copies of audited financial statements for last three years [FY 2013-14 to FY 2015-16] pursuant Part IV, Pre-qualification 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.

Part V. Forms

- ☐ 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 & stamped.

Form C.1.2

Annual Turnover

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

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

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

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

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

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

Annual Consultancy Revenue Data						
Year	PMC Revenue Amount (INR)			Total Consultancy Revenue #	Exchange Rate*	USD equivalent
	By PMC Contracts in India	By Overseas PMC Contracts	Total PMC Revenue			
2013-14						
2014-15						
2014-16						

* Refer ITA 13 for source of exchange rate. Exchange rate prevalent on 31st March shall be used to calculate revenue for respective financial year

Total Revenue would include revenues from all contracts including 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

[Identify contracts that demonstrate PMC/ Lender's Engineer/ Owner's Engineer/ Supervision Engineer work over the past 7 years pursuant to Part IV, Pre-qualification Criteria and Requirements, Sub-Factor D.1. List contracts chronologically, according to their commencement (starting) dates and attach Final Acceptance Certificates.]

1. Experience within India

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

* Refer ITA 13 for date and source of exchange rate

Final Acceptance Certificate to be attached for each contract, in an orderly fashion

2. Experience outside India

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

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

Final Acceptance Certificate to be attached for each contract, in an orderly fashion

Form D.2.1

Specific Experience

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

Applicant's Name: *[insert full name]*
 Date: *[insert day, month, year]*
 Joint Venture Member Name: *[insert full name]*
 IFP No. and title: *[insert IFP number and title]*
 Page *[insert page number]* of *[insert total number]* pages

Information

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

Final Acceptance Certificate to be attached for each contract, in an orderly fashion

Form E.1.1

Quality Management System

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

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

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

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

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

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

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

Copy of Certificate(s) of Quality Management System to be attached with Form E.1.1

Form E.2.1

Skilled Human Resources

[Furnish details for at least 5 key staff pursuant to Part IV, Pre-qualification Criteria and Requirements, Sub-Factor E.2. In case of JVCA, this shall be on a combined basis]

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

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

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

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

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

Sector	Name of key staff on rolls	Academic Qualification	Specialization	Years of Experience	Experience in Countries

Information on rest of the human resources may be provided on the basis of functional positions such as Design Engineers, Architects, etc, and their number

CV of each personnel listed in Form E.2.1, to be attached

Part VI. Questionnaire for Applicants

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

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

<u>Eligibility, Confirmation and Other Important Information</u>	<u>Response*</u>
1. Is your firm, either singly or in joint venture currently empanelled or prequalified as a PMC. If yes, please provide details of Client, Country and Scope of PMC. Attach additional sheets, if needed.	Confirm: Yes___/No _____
2. Export-Import Bank of India (Bank) requires that Applicants and their affiliates observe the highest standard of ethics during the selection and execution of contracts. In this context, any action taken by an Applicant or its affiliate to influence the pre-qualification 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 pre-qualification.	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 pre-qualification or any resulting contracts.	Confirm: Yes___/No _____
4. Has your firm been suspended or debarred by any Multilateral Agency, or any government, or a UN agency? If Yes, provide details, including date of reinstatement, if applicable. Attach additional sheets, if needed.	Yes___/No _____
5. Has your firm/organization ever filed or petitioned for bankruptcy? (If Yes, furnish details of the case including filing date and current status.). Attach additional sheets, if needed.	Yes___/No _____
6. Has your firm/ any JV partner been penalized for delay in contractual performance since 1 st April 2011 to Application submission deadline. If Yes, please provide details in a separate sheet, as necessary.	Yes___/No _____
7. Has there been a termination of your firm's services for non-performance on a contract in the last 5 years? If Yes, please describe in detail in a separate sheet, as necessary.	Yes___/No _____
8. If pre-qualified , and subsequently awarded a contract by the Borrower Government, would your firm/ JV be willing (i) to work in accordance with the Borrower country laws and regulations (ii) to submit requisite securities as per contract conditions (iii) to be responsible for the performance of the work executed by your firm (iv) to allow scrutiny of your work, related accounts, documentation by the Borrower/ Bank/ Government of India	Confirm: Yes___/No _____ Yes___/No _____ Yes___/No _____ Yes___/No _____

* Note: To confirm, print "Yes"

Certificate of eligibility and authority to sign Pre-qualification application

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

(Signature)

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

Date: