

Application Document

for

Prequalification of Project Management Consultant  
(PMC) for Rural Electrification of 50 Villages through  
Solar Photo Voltaic (SPV) system in Niger

**Export-Import Bank of India**

**Date: June 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 eligible Indian entities for Prequalification of Project Management Consultant (PMC) for Rural Electrification of 50 Villages through Solar Photo Voltaic (SPV) system in Niger under an LOC extended to Ecowas Bank for Investment and Development [EBID].

Completed Applications in accordance with the provisions of the Application Document should be delivered physically by 1800 hours, July 10, 2017 at the following address:

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  
Ph: 91 – 22 – 2286 1569/1563  
Email: [eximloc@eximbankindia.in](mailto:eximloc@eximbankindia.in)

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

**Part I. Scope of PMC Services**

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

**Part II. Instructions to Applicants (ITA)**

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

**Part III. Data Sheet (DS) to ITA**

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

**Part IV. Prequalification Criteria and Requirements**

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

**Part V. Forms**

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

**Part VI Questionnaire for Applicants**

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

# **Application Document for**

Prequalification of Project Management Consultant  
(PMC) for Rural Electrification of 50 Villages through  
Solar Photo Voltaic (SPV) system in Niger

**Invitation for Prequalification  
No.: GOILOC-144[4]/EBID/CS-04**

**Issued on: June 09, 2017**

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

The Export-Import Bank of India (Bank), on behalf of the Government of India has extended a Line of Credit to Ecowas Bank for Investment and Development and part of the amount is allotted for financing a project for Rural Electrification of 50 Villages through Solar Photo Voltaic (SPV) system in Niger. Exim Bank seeks applications for prequalification 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 detailed scope of work under the project is described as below.

- Item No.1: Electrification of 50 Schools – classrooms with 360 Wp per unit.
- Item No. 2: Electrification of 50 integrated health Centers with 960 Wp kit per unit.
- Item No. 3: Electrification of 50 Mosques with 240 Wp per unit.
- Item No.4: Electrification of 50 Recreation Centres with 480 Wp per unit.
- Item No.5: Installation and commissioning of 10 (3HP capacity) 3KWp Power Plant for the requirement of Water Pumping System (for Existing Wells).
- Item No. 6: Electrification of 2000 households (Type 1) 120 Wp stand-alone solar kits each and 1000 households (Type-2) with 240 Wp stand-alone solar kits each in 40 different villages.
- Item No. 7: Installation of micro power stations of 40 KWp each in 10 villages.
- Item No. 8: Spare Parts.

#### **Role of the Project Management Consultant [PMC]**

Services of a PMC will include the following tasks:

- Technical-economic studies;
- Review of bidding document prepared by the Client;
- Assistance in negotiations and in the award of contracts;
- Checking of design drawings and execution plans;
- Supervision and Monitoring of works:
  1. Scheduling of all operations;
  2. Control of the budget of the operation and verification of the accounts;
  3. Preparation of periodic progress reports;
  4. Factory acceptance in the main equipment manufacturer's workshops;

## Part I. Scope of Consultant Services

5. Supervision of civil works and assembly of mechanical and electromechanical equipment;
6. Functional testing and testing of equipment;
7. Operational commissioning;
8. Preparation of completion reports;
9. Advice on Operations and Maintenance until final acceptance;
10. Training of the Employer's staff in the field of techno-economic studies.

### **Technical studies and CAD**

The Consultant is responsible for:

- i. Techno-economic design studies;
- ii. Any suggestions for improving the quality of the Bidding documents for the selection of the company responsible for carrying out the work.

### **Assistance in the award of contracts**

The Consultant will assist the Client in the technical analysis and evaluation of the tenders. After the selection of the contractor, Consultant will assist the Client during the contract negotiations.

### **Control of studies**

The Consultant will carry out the verification of all schedules, plans and workings drawn up by the Contractor including:

- i. Schedule for the submission of design plans (workings, drawings) for approval;
- ii. Implementation plans;
- iii. Civil engineering plans;
- iv. Electrical drawings and diagrams, drawings of electrical panels, control / command / protection

### **Control of works**

#### **• Timing:**

The Consultant will validate the implementation schedule for the entire operation, showing the key dates and the expected results on those dates. This validation will be carried out in consultation with the contractor and the Client. The Consultant will ensure the timely implementation of this schedule.

- **Control of the budget of the operation and Verifications of the accounts:**

From the Contract Payment Schedule, the Contractor will provide the Consultant all invoices for checking and audit based verification on timing and progress, to determine the appropriateness of the Contractor's billing. After this compliance check, the Consultant will forward the invoices to the Employer for approval and payment.

- **Periodic progress reports:**

The Consultant will participate in periodic site meetings organized by the project implementation agency; it shall draw up reports thereon. On the basis of these documents and according to the timetable, the Consultant will draw up a monthly progress report on the project, which will be submitted to the Employer in paper and digital form.

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

In consultation with the representatives duly appointed by the Employer, the Consultant will carry out the factory inspection of the main equipment.

- **Control of civil works :**

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

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

- **Checking the installation of the equipment**

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

- Control the conformity of the material against the packing slips;



## Part I. Scope of Consultant Services

- Ensure strict application of market requirements and adherence to good engineering practice;
  - Ensure proper execution of the structures, mainly ensuring: the importance of site facilities and their reliability; assembly of circuits and equipment (assembly, welding and connections, etc.); methods and tolerances of execution;
  - Ensure compliance and reliability of all safety devices;
  - Check that: all installed equipment is properly identified (wiring, circuits, equipment, etc.); all measuring and control devices are properly connected; Adjusted and calibrated;
  - Ensure that all tests of suitability and operation of the equipment and circuits are carried out in accordance with the specifications and the standards in force;
  - No relaxations concerning the modification of the operating principle and the tests of the safety and control devices shall be granted without the authorization of the Employer;
  - Inform the Project Manager regularly of the progress of the work;
  - Checking operating manuals submitted by the Contractor;
  - Prepare the provisional acceptance of the works and certify test runs results;
  - Ensure implementation of basic occupational hygiene and safety standards;
  - Ensure completeness of catalogues of specific tooling, spare parts and safety and maintenance booklets.
- **"As Built" Plans:**

At the end of the project, the PMC will check the updating of the "as-built" plans, technical leaflets and various documents at the expense of the Contractor.

- **Commissioning and testing:**

The Consultant shall assist in:

- Preliminary commissioning tests;
- Provisional acceptance after performance verification and the lifting of reservations.

During the warranty period, the Consultant will assist and advise the Client, at the latter's request, regarding serious incidents or operating problems that may arise.

**B] Site and other Data**

Niger is a large, landlocked and mostly desert country with an area of 1.267 millions square kilometers (km<sup>2</sup>) and a population of around 21 million. The population is concentrated in the areas around the Niger Basin in the western corner of the country bordered by Mali, Burkina Faso and Benin, and then stretches through the Sahel region all along Nigeria's long (1500 km) northern border. More than 80% of the population lives in rural areas. The country is divided into 8 regions, 63 departments, and 266 communes.

Very few households have access to electricity. The electricity access rate is estimated at about 10%, with significant disparities between urban and rural areas, and between the capital city Niamey and the other urban centers. The access rate is below one percent in rural areas, varies in smaller cities between 20 and 40 percent, and stands at around 50 percent in Niamey.

On-grid electricity access has been spearheaded mostly by NIGELEC, the state-owned utility. NIGELEC has about 218,000 customers. It operates most of the six separate networks that constitute Niger's power system: (1) the West zone, which is supplied by an interconnection with Northern Nigeria and services the capital city Niamey and some of the most populated centers, (2) the center-east zone, supplied through a second interconnection with Northern Nigeria, (3) the northern zone, which feeds mining companies and is supplied by SONICAR, a utility that operates a coal-based generation plant, (4) the Eastern zone servicing smaller eastern urban centers, (5) the southern zone servicing localities bordering Benin, (6) and scattered isolated grids powered by diesel generators servicing 82 centers. NIGELEC envisions implementing a pipeline of distribution investments to rehabilitate and expand the network in urban/peri-urban centers.

Recent policy documents prepared in 2015 establish specific targets for decentralized renewable energy. The ECOWAS Centre for Renewable Energy and Energy Efficiency (ECREEE) National Renewable Energy Action Plan (NREAP) sets a target of 15MW of installed green mini-grids (GMG) capacity and 15% rural electricity access through off-grid and mini-grid solutions by 2020. The SE4All Action Agenda sets an overall 30% electricity access target by 2020 and of 30% renewable energy in the energy mix by 2030.

In 2016 the Government of Niger approved a new Electricity Code and a law for the creation of an independent regulator. The Electricity Code is expected to open the possibility for private or semi-private grid operators, under concessions and with state-endorsed tariffs that support the sector's financial equilibrium. It has recently initiated the development of a national electrification strategy, which will provide a road map to ramping up access in urban, peri-urban, and rural areas through both on-grid and off-grid solutions.

The institutional framework for rural electrification is also evolving, with the creation of the Niger Rural Electrification Agency (ANPER) in 2013. The agency's aim is to drive rural electrification by preparing, planning, coordinating, regulating and overseeing initiatives for rural population to access electricity. ANPER plays an important role in bridging the gap

## Part I. Scope of Consultant Services

towards access to energy, but has only recently been created and is developing its capacity to adequately promote renewable energy solutions at scale in rural areas such as mini-grids and the corresponding institutional and operational models.

Moving forward, the Government, with assistance and financing from its partners, has recently initiated the development of a Solar Electricity Access Project. The project will seek to increase access to solar-based electricity services while strengthening institutional capacity.

### **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 service is estimated to 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 Prequalification**

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

#### **3. Ethics and Integrity**

3.1 The Bank requires Applicants to participate in this prequalification 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 prequalification process, by themselves or by a third party, to offer, ask or accept for itself or for a third party, financial or non-financial advantage or even direct or indirect promise, as offsets for prequalification, if susceptible of being qualified as criminal 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 prequalification process, or during the subsequent bidding for the contract(s) has

## Part II. Instructions to Applicants (ITA)

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

- a. reject any Application for prequalification 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 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 listing out the names of all the JV members. In the case of a JV, all members shall be jointly and severally liable for the execution of the subsequent contract(s) in accordance with the respective contract terms. The JV shall be represented by an authorized representative who shall have the authority from all members of the JV so as to conduct all business for and on behalf of the JV during the prequalification process. The limit on the number of members in a JV would be as specified in the **DS**.
- 4.4 This prequalification exercise is open to only Indian Applicants. An Applicant shall be deemed to be Indian if the Applicant is constituted, incorporated or registered in, and operates in accordance with the provisions of the laws of India, as evidenced by its articles of incorporation and its registration documents, as the case may be.
- 4.5 An Applicant that has been debarred/ sanctioned 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 An Applicant shall be ineligible to be prequalified if it has defaulted on any loan to any Bank/ Financial Institution (FI) and its account has been classified as Non-Performing Asset (NPA) with any Bank/FI or 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 post the prequalification process, the Applicant shall immediately inform Exim Bank on the inclusion and reasons for inclusion thereof.
- 4.8 An Applicant shall furnish such evidence of eligibility satisfactory to the Bank, as the Bank shall reasonably request.

## B. Composition of the Application Document

### 5. Contents of this Document

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

## 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, at its discretion, may be put up on its website, and shall include a description of the inquiry (without identifying its source) and corresponding clarification. As a result of a clarification the Bank may, if necessary, amend the Application Document in accordance with the provisions of ITA 7.
- 6.2 Any modification to the Application Document that may become necessary as a result of the clarifications to the queries shall be made by the Bank exclusively through the use of a Corrigendum pursuant to ITA 7.

### 7. Corrigendum of Application Document

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

## C. Preparation, Submission and Opening of Applications

### 8. Cost towards

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



## Part II. Instructions to Applicants (ITA)

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| <b>Application</b>   | 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 to this requirement may result in summary rejection of the Application.<br><br>13.2 Wherever a monetary amount is to be stated, Applicants should indicate the USD equivalent using the rate of exchange determined as follows: |

## Part II. Instructions to Applicants (ITA)

- (a) for contracts signed in the current financial year, the exchange rate prevalent as on the date of Invitation for Prequalification (IFP) shall be used to arrive at the USD equivalent;
- (b) 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**.
- (c) 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.
- (d) 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 31<sup>st</sup> March of respective financial year 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 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

## Part II. Instructions to Applicants (ITA)

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 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-consultant(s), if any, proposed by the Applicant will not be considered for evaluation of the Application.
- 22.3 Only the qualifications of the Applicant, in the capacity as prime consultant / member of JV to the main client, shall be considered. In particular, the qualifications of a parent or other affiliated company 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.

Part II. Instructions to Applicants (ITA)

**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	
<b>ITA 2.1</b>	<p>The identification of the Invitation for Prequalification (IFP) is:  <b>GOILOC-144[4]/EBID/CS-04</b></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 1569/1563  Email: <a href="mailto:eximloc@eximbankindia.in">eximloc@eximbankindia.in</a>  Website: <a href="http://www.eximbankindia.in">www.eximbankindia.in</a></p>
<b>ITA 4.3</b>	<p><b>The lead partner of the JV shall be the one with the highest share in the JV which shall not be less than 26%.</b> The maximum number of other members in the JV shall be such that each of the other members should have at least <b>20%</b> share. The JV can be either an incorporated JV company or an unincorporated consortium/ association (JVCA) based on a memorandum of understanding. In case of unincorporated JVCA, the share shall be determined based on the share in the proceeds of the contract (in terms of percentage) being bid for. In other words, if prequalified and invited to bid, the share of JV members in the contract in terms of value shall be in the proportion as stated above.</p> <p>The Letter of Intent to enter into a JV or JV agreement should contain, inter alia, the following:</p> <ul style="list-style-type: none"> <li>- Names of the Lead Partner and each of the other members</li> <li>- Percentage share of each JV member</li> <li>- Confirmation of Joint and Several Liability of all members of the JV</li> </ul> <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. No change of JV members or change in percentage (%) of share in JV is allowed subsequent to prequalification.</p>
<b>ITA 4.6</b>	<p>A list of debarred firms and individuals by:  the World Bank is available on the website:  <a href="http://www.worldbank.org/debarr">http://www.worldbank.org/debarr</a></p> <p>The Asian Development Bank is available on the website:  <a href="http://lnadbg4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&amp;count=999">http://lnadbg4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&amp;count=999</a></p>

	<p>the African Development Bank is available on the website:  <a href="http://www.afdb.org/en/projects-and-operations/procurement/debarment-and-sanctions-procedures/">http://www.afdb.org/en/projects-and-operations/procurement/debarment-and-sanctions-procedures/</a></p> <p>the European Bank for Reconstruction and Development is available on the website: <a href="http://www.ebrd.com/pages/about/integrity/list.shtml">http://www.ebrd.com/pages/about/integrity/list.shtml</a></p> <p>the Inter-American Development Bank is available on the website:  <a href="http://www.iadb.org/en/topics/transparency/integrity-at-the-idb-group/sanctioned-firms-and-individuals,1293.html">http://www.iadb.org/en/topics/transparency/integrity-at-the-idb-group/sanctioned-firms-and-individuals,1293.html</a></p>
<b>B. Contents of the Application Document</b>	
<b>ITA 6.1</b>	<p>For <b>clarification purposes</b>, the Bank's address is:  Ms. 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 :<a href="mailto:eximloc@eximbankindia.in">eximloc@eximbankindia.in</a>  Website: <a href="http://www.eximbankindia.in">www.eximbankindia.in</a></p>
<b>C. Preparation, Submission &amp; Opening of Applications</b>	
<b>ITA 10.1 (d)</b>	<p>The applicant shall forward 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>

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 (<a href="http://www.rbi.org.in">www.rbi.org.in</a>)</p> <p>In case a particular currency rate is not published by Reserve Bank of India, then the selling rate of such currency shall be taken from the following website: <a href="http://www.oanda.com">http://www.oanda.com</a></p> <p>Applicants shall use the following rates for conversion between USD and INR:</p> <table><tr><td></td><td>USD 1 = INR</td><td>1 INR = USD</td></tr><tr><td>31-Mar-11</td><td>44.6500</td><td>0.0224</td></tr><tr><td>31-Mar-12</td><td>51.1565</td><td>0.0195</td></tr><tr><td>31-Mar-13</td><td>54.3893</td><td>0.0184</td></tr><tr><td>31-Mar-14</td><td>60.0998</td><td>0.0166</td></tr><tr><td>31-Mar-15</td><td>62.5908</td><td>0.0160</td></tr><tr><td>31-Mar-16</td><td>66.3329</td><td>0.0151</td></tr></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
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31-Mar-15	62.5908	0.0160																				
31-Mar-16	66.3329	0.0151																				
ITA 14.1	<p>Additionally One (1) copy in digital – in USB flash/ pen drive shall also be submitted.</p> <p>The prequalification 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><b>The deadline for Application submission is:</b></p> <p><b>Date: July 10, 2017</b></p> <p><b>Time: 18:00 hrs</b></p> <p><b>For application submission purposes only, the Bank’s address is:</b></p>																					



	<p>Bank's address is the same as that indicated in 2.1</p> <p><i>Attention: <b>Ms. Meghana Joglekar, Deputy General Manager</b></i></p>
<b>ITA 18.1</b>	<p>The opening of the Applications shall be at the Bank's address as that indicated in 2.1</p> <p><b>Date: July 11, 2017</b></p> <p><b>Time: 15:00 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.

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## A. General

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

A.2. Eligibility	
Requirement:	<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>
Documentation to be submitted:	Application Submission Form
Attachments	<ul style="list-style-type: none"> <li>➤ The Applicant shall submit a copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorized, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant. A copy (self-attested) of such relevant company Board Resolution or equivalent document should also be attached.</li> <li>➤ In case the Applicant is a JV, the Applicant shall submit a copy (self-attested on all pages) of Power of Attorneys for each member of the JV along with copy (self-attested) of relevant Board Resolutions or equivalent documents.</li> <li>➤ For an Applicant as a single entity or in case of JV, for each member: <ul style="list-style-type: none"> <li>○ Permanent Account Number (PAN): Self attested copy</li> <li>○ TIN/ Service Tax Registration details, as applicable: Self attested copy</li> <li>○ Documentary proof for being on the approved list of Project Exports Promotion Council of India - PEPC (MOCI).</li> </ul> </li> </ul>

## B. Past Contract Performance and Litigation

B.1 Past Contract Non-performance	
Requirement:	<ul style="list-style-type: none"> <li>• There shall be no instance of contract<sup>1</sup> non-performance as a result of Applicant's default since <b>June 01, 2012</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 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"> <li>• 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"> <li>○ 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.</li> </ul> </li> <li>➤ Documentation and Attachments to be submitted as mentioned below.</li> <li>➤ In case of JV, each member shall meet the requirement.</li> </ul> <p><i>*Note: Networth – [ 25% of Litigation Value – provisions already made] = positive</i></p>
Documentation to be submitted:	Form B.2.1
Attachments to be submitted:	Documents establishing details included in Form B.2.1

B.3 Contract Litigation History	
Requirement:	<ul style="list-style-type: none"> <li>• There shall be no consistent history of court/arbitration award decisions related to contractual litigation against the Applicant<sup>2</sup> since <b>June</b></li> </ul>

<sup>1</sup>Contract non-performance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the applicant have been exhausted.

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

Part IV. Prequalification Criteria and Requirements

	<p><b>01, 2012.</b></p> <ul style="list-style-type: none"><li>• The aggregate amount of awards against the Applicant, if any since <b>June 01, 2012</b>, shall not exceed 25% of net worth as per the latest financial statements. (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 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 &amp; 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"> <li>a) Positive net worth for each of the last three (3) financial years;</li> <li>b) Positive profit (i.e. Profit Before Tax) for atleast one (1) out of last three (3) financial years and</li> <li>c) Annual Consultancy Revenue in any one of the last three (3) financial years defined above, be not less than <b>USD 0.29 million</b>.</li> </ul> <p>In case of JVCA, requirement (a) and (b) above shall be met by each member and requirement under (c), each member shall meet 25%, lead member shall meet 40% and all members together shall meet 100%.</p> <p>(ii) Documentation and Attachments to be submitted as mentioned below</p>
Documentation to be submitted:	Forms C.1.1 and Form C.1.2 both certified by the Statutory Auditor of the Applicant (in case of JV, for each member of the JV).
Attachments to be submitted:	<p>The Applicant and its parties shall provide copies of audited financial statements for <b>three</b> years (FY 2013-14 to FY 2015-16). The financial statements shall:</p> <ul style="list-style-type: none"> <li>➤ reflect the financial situation of the Applicant or in case of JV for each member, and not an affiliated entity (such as parent company or group member).</li> <li>➤ be independently audited and certified by the Statutory Auditor/ Chartered Accountant in accordance with applicable legislation.</li> <li>➤ be complete, including all notes to the financial statements.</li> <li>➤ correspond to accounting periods already completed and audited.</li> </ul>

**D. Experience**

D.1 General Experience	
Requirement:	<p>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 <b>India</b> during the last 7 years, starting from June 01, 2010 and application submission deadline. (In case of JV, each member shall meet the requirement.)</p> <ul style="list-style-type: none"> <li>Documentation and Attachments to be submitted as mentioned below</li> </ul>
Documentation to be submitted:	Form D.1.1 (to be prepared separately for experience in India and experience outside India)
Attachments to be submitted:	Final Acceptance Certificate/ Completion Certificate / Testimonial Letters issued by the employer for each contract listed in Form D.1.1

D.2 Specific Experience	Demonstrating experience relevant as PMC for Solar Electrification project listed in Part I – Scope of PMC Services																		
Requirement:	<p><b>(i) At least the number and value of similar contracts as mentioned below,</b> for experience as PMC for Solar Electrification projects that have been satisfactorily completed as a prime consultant, or joint venture member to the main client, between June <b>01, 2012</b> and application submission deadline.</p> <table><tr><td></td><td><b>Nos of Contracts</b></td><td><b>Value<sup>3</sup> of each Contract (USD mn)</b></td></tr><tr><td>Option I</td><td>3</td><td>0.18</td></tr><tr><td colspan="3">OR</td></tr><tr><td>Option II</td><td>2</td><td>0.22</td></tr><tr><td colspan="3">OR</td></tr><tr><td>Option III</td><td>1</td><td>0.35</td></tr></table> <p>Above contracts shall collectively demonstrate experience as PMC/ Owner’s Engineer or similar role for project(s) involving Solar Electrification.</p>		<b>Nos of Contracts</b>	<b>Value<sup>3</sup> of each Contract (USD mn)</b>	Option I	3	0.18	OR			Option II	2	0.22	OR			Option III	1	0.35
	<b>Nos of Contracts</b>	<b>Value<sup>3</sup> of each Contract (USD mn)</b>																	
Option I	3	0.18																	
OR																			
Option II	2	0.22																	
OR																			
Option III	1	0.35																	

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

Part IV. Prequalification Criteria and Requirements

	<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 in solar electrification projects as mentioned 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)**

<b>E.1 Quality Management System</b>	<b>Total Marks: 25</b>
Requirement:	<ul style="list-style-type: none"> <li>Information on ISO Accreditation / 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"> <li>10 marks per certification (max 25 marks)</li> </ul> </li> <li>Documentation and Attachments to be submitted as mentioned below</li> </ul>
Documentation to be submitted:	Form E.1.1
Attachments to be submitted:	Self-attested copy of ISO Accreditation / Quality Management System Certificate valid as on the deadline for submission of application.

E.2 Skilled Human Resources	Total Marks: 75																				
Requirement:	<ul style="list-style-type: none"><li>Applicant must demonstrate that it can deploy personnel for the following tentative key positions, meeting the qualification and experience mentioned therein:</li></ul> <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</td><td>Graduate in Electrical Engineering</td><td>15 years' specific experience in the power sector with at least 3 years of experience in solar sector, with planning experience.</td></tr><tr><td>2</td><td>2</td><td>Electrical Engineer</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></table>	Sr No	No of staff	Key personnel	Minimum qualification	Minimum experience	1	1	Project Manager	Graduate in Electrical Engineering	15 years' specific experience in the power sector with at least 3 years of experience in solar sector, with planning experience.	2	2	Electrical Engineer	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
Sr No	No of staff	Key personnel	Minimum qualification	Minimum experience																	
1	1	Project Manager	Graduate in Electrical Engineering	15 years' specific experience in the power sector with at least 3 years of experience in solar sector, with planning experience.																	
2	2	Electrical Engineer	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																	

	<ul style="list-style-type: none"> <li>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"> <li>15 marks per expert (max 75 marks);</li> </ul> </li> <li>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;</li> <li>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.</li> <li>The CVs should be signed in original, either by the respective personnel or by the authorised signatory of the Applicant/ JV.</li> </ul> <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 Prequalification of Applicants		
Sr. No.	Description	Remarks
A.	General	Evaluation on Pass/ Fail basis
B.	Past Contract Performance and Litigation	Evaluation on Pass/ Fail basis
C.	Financial Status and Capacity	Evaluation on Pass/ Fail basis
D.	Experience	Evaluation on Pass/ Fail basis
E.	Quality Assurance	Evaluation on Pass/ Fail basis

## **Part V. Forms**

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### **Application Submission Form**

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

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

To: *[insert full name of Bank]*

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

- (a) We have examined and have no reservations to the Application Document, including Corrigendum No(s).\_\_\_\_\_, issued in accordance with Instructions to Applicants (ITA) 7: *[insert the number and issuing date of each corrigendum or “nil” if no corrigendum is issued]*.
- (b) We meet the eligibility requirements as stated in ITA 4.1, we have not been currently debarred/ sanctioned in accordance with ITA 4.5;
- (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 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) 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]*

Part V. Forms

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 & Memorandum of Association, Certificate of Incorporation (or equivalent documents of constitution or association), and/or documents of registration of the legal entity named above, in accordance with ITA 4.4. <input type="checkbox"/> In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.3. 2. Included are the 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 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

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

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

<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 1 <sup>st</sup> June 2012 specified in Part IV, Prequalification Criteria and Requirements, Sub-Factor B.1.			
<input type="checkbox"/> Contract(s) not performed since 1 <sup>st</sup> June 2012 specified in Part IV, Prequalification Criteria and Requirements, requirement B.1			
<b>Year</b>	<b>Non-performed portion of contract</b>	<b>Contract Identification</b>	<b>Total Contract Amount (current value, currency, exchange rate and US\$ equivalent)</b>
<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>



<b>Form B.2.1</b>				
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.				
<b>Year of dispute</b>	<b>Amount in dispute (currency)</b>	<b>Contract Identification</b>	<b>Total Contract Amount (currency), USD Equivalent (exchange rate)</b>	<b>Amount of specific provision already made, if any</b>
<i>[insert year]</i>	<i>[insert amount]</i>	Contract Identification: [indicate complete contract name, number, date, value and any other identification]  Name of Employer: <i>[insert full name]</i>  Address of Employer: <i>[insert street/city/country]</i>  Matter in dispute: <i>[indicate main issues in dispute]</i>  Party who initiated the dispute: <i>[indicate "Employer" or "Consultant"]</i>  Status of dispute: <i>[Indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]</i>	<i>[insert amount in equivalent USD, exchange rate and its date]</i>	<i>[insert amount in USD equivalent and specify exchange rate]</i>

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

**Form C.1.1****Financial Status and Capacity**

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

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

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

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

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

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

**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, Prequalification Criteria and Requirements, Sub-factor C.1. The financial statements shall:

- 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);
- be independently audited or certified in accordance with local legislations;
- be complete, including all notes to the financial statements;
- 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 Consultancy Turnover**

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

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

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

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

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

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

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

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

@ PMC Revenue would include revenue from PMC, Lender's Engineer, Owner's Engineer and Supervision Engineer Contracts.

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

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

**Form D.1.1****General Experience**

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

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

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

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

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

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

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

*[Identify contracts that demonstrate PMC/ Lender's Engineer/ Owner's Engineer/ Supervision Engineer work over the past 7 years 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.]*

**1. Experience within India**

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

**Experience outside India**

<b>Contract Identification</b>	<b>Country of Work Execution</b>	<b>Start Date</b>	<b>Initial Contractual End Date</b>	<b>Actual Completion Date and Reasons for delay, if any</b>	<b>Role of Applicant</b>
Contract name: <i>[insert full name]</i> Brief Description of the works performed by the Applicant: <i>[describe works performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i>		<i>[indicate date as dd/mmm/yyyy]</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 / Completion Certificate / Testimonial Letters issued by the employer to be attached for each contract, in an orderly fashion

**Form D.2.1****Specific Experience**

*[The following table shall be filled in for contracts 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 pertaining to : *[Insert name of JV leader or JV member/s]*

**Information**

Similar Contract No.	<i>[insert number] of [insert number of similar contracts required]</i>		
Contract Identification/ Title	<i>[insert contract name and number, if applicable]</i>		
Contract date	<i>[dd/mmm/yyyy]</i>		
Completion date	<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:		
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			



Part V. Forms

Total Staff Months by Associate firm (if applicable)	

\* Refer ITA 13 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

#### Certified Management System

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

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

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

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]*

ISO Accreditation/ Certified 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 ISO Certificate(s) to be attached with Form E.1.1

**Form E.2.1**

**Skilled Human Resources**

*[Furnish details for at least 5 key staff on rolls pursuant to Part IV, Prequalification 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.]*

<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 a PMC.  If yes, please provide details of Client, Country and Scope of PMC. Attach additional sheets, if needed.	Confirm:  Yes___/No ____
2. Export-Import Bank of India (Bank) requires that Applicants and their affiliates observe the highest standard of ethics during the selection and execution of contracts. In this context, any action taken by an Applicant or its affiliate to influence the prequalification process for undue advantage is improper.  Confirm that Applicant and its JV partners, if applicable, have not engaged in any unethical practices in competing for this prequalification.	Confirm:  Yes___/No ____
3. Confirm that no official of the Bank has received or will be offered by your firm/organization or agents, any direct or indirect benefit arising from this prequalification or any resulting contracts.	Confirm:  Yes___/No ____
4. Has your firm been suspended or debarred by any Multilateral Agency, or any government, or a UN agency? If Yes, provide details, including date of reinstatement, if applicable. Attach additional sheets, if needed.	Yes___/No____
5. Has your firm/organization ever filed or petitioned for bankruptcy? (If Yes, furnish details of the case including filing date and current status.). Attach additional sheets, if needed.	Yes___/No ____
6. Has your firm/ any JV partner been penalized for delay in contractual performance since 1 <sup>st</sup> June 2012 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 prequalified and subsequently awarded a contract by the Borrower Government, would your firm/ JV be willing  (i) to work in accordance with the Borrower country laws and regulations (ii) to submit requisite securities as per contract conditions (iii) to be responsible for the performance of the work executed by your firm (iv) to allow scrutiny of your work, related accounts, documentation by the Borrower/ Bank/ Government of India	Confirm:  Yes___/No ____ Yes___/No ____ Yes___/No ____ Yes___/No ____
9. Please confirm that you agree to the provisions of the Government of India guidelines dated 7th December 2015 on IDEAS Lines of Credit	Confirm:  Yes___/ No ____

*\* Note: To confirm, print "Yes"*

**Certificate of eligibility and authority to sign Prequalification application**

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

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(*Signature*)

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

Date: