

# Application Document

for

## **Pre-qualification of Indian Entities**

for

Supply of agricultural equipment & machinery  
and capacity building of stakeholders for the  
Cassava Plantation Project in the Republic of  
Cameroon.

**Export-Import Bank of India**

**Date: August 22, 2017**

## **INVITATION FOR PREQUALIFICATION**

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 are governed by the Guidelines issued by the GOI from time-to-time. As per the extant guidelines issued vide letter No. 21/3/2015-IDEAS dated December 7, 2015, the Bank is required to carry out a prequalification exercise and provide a list of prequalified bidders to the Borrower for invitation of bids for specific contract packages under the project(s) financed by the Line(s) of Credit (LOCs).

In pursuance to the above, the Bank invites Applications for prequalification of Indian entities for Supply of agricultural equipment & machinery and capacity building of stakeholders for the Cassava Plantation project in Cameroon under Exim Bank's GOI-supported Line of Credit extended to the Government of the Republic of Cameroon.

Completed Applications in accordance with the provisions of the Application Document should be delivered physically by 1800 hours, on September 21, 2017 at the following address:

Ms. Meghana Joglekar  
Deputy General Manager  
Lines of Credit Group  
Export-Import Bank of India  
8th Floor, Maker Chambers IV  
Nariman Point, Mumbai - 400 021  
Tel : +91 - 022 2286 1567/1563  
Fax: +91 - 022 2282 3394  
E-mail: [eximloc@eximbankindia.in](mailto:eximloc@eximbankindia.in)

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

**Part I. Scope of Supplies**

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

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

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

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

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

**Part IV. Prequalification Criteria and Requirements**

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

**Part V. Forms**

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

**Part VI Questionnaire for Applicants**

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

# Application Document

for

## **Pre-qualification of Indian Entities**

for

Supply of agricultural equipment & machinery  
and capacity building of stakeholders for the  
Cassava Plantation Project in the Republic of  
Cameroon.

Invitation for Pre-Qualification No.:  
GOILOC-165/C-AF-CMR /SUPPLY-06  
Issued on: August 22, 2017

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## **Part I: Scope of Supplies**

The Export-Import Bank of India (Bank), on behalf of the Government of India has extended a Line of Credit to the Government of the Republic of Cameroon for Supply of agricultural equipment & machinery for Cassava Plantation Project in Cameroon for which the Bank now seeks applications for prequalification from eligible Indian Entities for the aforementioned project. Refer Part-II, ITA-4 for eligibility provisions.

### **A] Scope of Work:**

The project aims to mechanise and develop the Cassava sub-sector in Cameroon. The pre-qualification exercise is being conducted to prequalify Indian Suppliers specializing in supply of agricultural equipment and machinery and capacity building of stakeholders for the Cassava sub-sector. The scope of supplies have been grouped under three (3) lots as detailed below.

### **B] Major Components of Supply**

Lot No. 1: Earth moving equipment for opening of roads, clearing and land preparation *(including set of related spare parts, training of Users, annual maintenance contract for minimum two years, technical reception of equipments at the exit of the factory in India with participation of Cameroonian experts and after-sales service)*

Lot No. 2: Trucks – mounted with Cranes, Tankers and Trailers *(including set of related spare parts, training of Users, annual maintenance contract for minimum two years, technical reception of equipments at the exit of the factory in India with participation of Cameroonian experts and after-sales service)*

Lot No. 3: Tractors with associated mountings and equipment for land management, planting, crop maintenance & harvesting and supply of maintenance equipment and spare-parts for Fabrication Unit *(including set of related spare parts, training of Users, annual maintenance contract for minimum two years, technical reception of equipments at the exit of the factory in India with participation of Cameroonian experts and after-sales service)*

Sr. No.	Description	Quantity
<b>Lot - I</b>	<b>Earth moving equipment for opening of roads, clearing and land preparation</b>	
1	324 HP Bulldozer	10
	Ripper for 324 HP Bulldozer	10
	Blade for 324 HP Bulldozer (semi U & at least 9 m <sup>3</sup> )	10
2	Tree Pusher for 324 HP Bulldozer	5
3	Hammer	10
4	Land clearing rake for 324 HP Bulldozer	10
5	Land clearing (marine) chain with a pair of sliding hook	5

PART I: Scope of Supplies

Sr. No.	Description	Quantity
6	165 HP Bulldozer	10
	Ripper for 165 HP Bulldozer	10
	Blade for 165 HP Bulldozer (semi U	10
7	Tree Pusher for 165 HP Bulldozer	5
8	Land clearing rake for 165 HP Bulldozer	10
9	150 HP Grader	10
10	Wheel Loader of at least 170 HP	10
	Rock Bucket for Wheel Loader of at least 170 HP	10
11	Wood Grasper for Wheel Loader of at least 170 HP	5
12	Tracked Excavator. at least 170 HP	10
	Rock Bucket for Excavator of at least 170 HP	10
13	125 HP Monocylindric Compactor	10
14	Pad Foot Drum Kit for 125 HP Compactor	10
15	125 HP Backhoe	10
16	Sets of spare parts for items 1 to 15 above	5
<b>Lot - II</b>	<b>Trucks – mounted with Cranes, Tankers and Trailers</b>	
17	Workshop Truck 4WD for maintenance, at least 250 HP	10
18	20 Ton Tipper Truck 6x4 (at least 10 m <sup>3</sup> ), at least 250 HP	10
19	Truck with Crane, at least 250 HP	10
20	8000 litre-Fuel Tanker, at least 250 HP	10
21	6000-litres Water Tanker with watering device (for road compaction)	10
22	18000 litre 6x4 -Water Tanker, at least 250 HP	10
23	50-Ton Winch equipped Flat Bed Trailer, at least 430 HP	10
24	Topography Equipment: Electronic Theodolite (LEICA)	10
25	Navigation GPS	20
26	Tachometer	12
27	Sets of spare parts for items 17 to 26 above	5
<b>Lot - III</b>	<b>Tractors with associated mountings and equipment for land management, planting, crop maintenance, harvesting and supply and installation of fabrication unit.</b>	
<b>III-A</b>	<b>Equipment for Land Management</b>	
28	Tractor 90 HP, 4WD	110
29	Forestry crusher	50
30	Heavy disk Harrow (16 disks),	50
31	Heavy Disk Harrow 10x10 (20 disks),	50
32	Grass cutter	50
33	6-bottom Disk Plough, semi-mounting	50
34	4-bottom Disk Plough, semi-mounting	50
35	Workshop	10

PART I: Scope of Supplies

Sr. No.	Description	Quantity
36	Cassava Ridger, 4 Disks, semi-mounting	50
37	5-Ton Tipping Trailer, semi-mounting	50
38	7.5-Ton Tipping Trailer, semi-mounting	50
39	10-Ton Tipping Trailer, semi-mounting	50
40	05-Ton Tow tractor	30
41	7-8-Ton Tow tractor	30
42	10-Ton Tow tractor	30
43	Cultivator 13 Tines	20
44	3000-litre Fuel tanker Trailer	20
45	Soil Auger for Perennial Crops, Spiral Diameter: at least 500 mm	20
<b>III-B</b>	<b>Crops Planting and Maintenance</b>	
46	Cassava Planter	200
47	2000-litre boom sprayer equipped with pump, semi-mounting	100
48	Portable (operator-carried) knapsack sprayers	100
49	Thermonebulizers	10
50	Motorised Mist Blower (Atomiser)	100
51	Rotary Atomiser Sprayer, ULV	50
52	Disk Fertilizer Applicator	100
<b>III-C</b>	<b>Harvesting Equipment</b>	
53	Cassava Cutter	250
54	Cassava Harvester	250
55	Self-propelled Combine Harvester for Maize	10
56	Tractor-drawn Combine Harvester for Maize	20
57	Maize Sheller cum Dehusker	200
58	Grading Machine for Cereals (rice and maize)	100
<b>III-D</b>	<b>Supply and Installation of Maintenance Equipment and Spare-parts Fabrication Unit</b>	
59	Mechanical Turn	5
60	Radial Drill	5
61	Automatic Milling Cutter	5
62	Assembly of Oxy-acetylenic Welding	5
63	Post of Electrical Welding	5
64	Chain saw	20
65	Tools for the maintenance of the different machines	5
66	Sets of spare parts for items 28 to 65 above	5

It has to be noted that the above description is general, quantities mentioned herein are tentative in nature and actual numbers, design details will be described in the schedule of requirements in the tender documents that will be issued at the tendering stage. Provision



## PART I: Scope of Supplies

of associated equipment, spare parts etc. will be included in the tender documents and the schedule of requirement for each item.

### **C] Contract Period:**

The contract has to be completed within 12 months, which shall include the durations for all activities listed in the above scope of work.

### **D] Lots:**

There are three (3) lots for the scope of supplies (Lot - I, II and III) as mentioned in Para. 'B' of the 'Part I : Scope of Supplies'. This common Application Document for pre-qualification is applicable for all three (3) lots distinctly. The Applicant may apply for any or all three (3) lots. Subsequent to pre-qualification, the Borrower may undertake bidding for the lots, separately.

### **E] 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 Supplies 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 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 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 4.3. 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 involved or intended to be involved with this prequalification process for any part of the prospective contract(s) including related services.
- 4.3 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. Applications from Joint Venture or a Consortium, or an Association (JVCA) , either incorporated or unincorporated, will not be considered for the pre-qualification.
- 4.4 An Applicant that has been debarred/ sanctioned by the Bank in pursuance of ITA 3.1, including debarment/ sanction by any government procuring entity/ corporation or Multilateral Development Agencies (MDA) in accordance with extant rules and procedures, shall be ineligible to be prequalified, during such period of time as the Bank/ sanctioning authority shall have determined.
- 4.5 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.
- 4.6 An Applicant shall be ineligible to be prequalified if it has defaulted on any loan to any Bank/ Financial Institution (FI) or 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 Willful 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.

- 4.7 An Applicant shall furnish such evidence of eligibility satisfactory to the Bank, as the Bank shall reasonably request.

## **B. Composition of the Application Document**

### **5. Contents of this Document**

- 5.1 This Application Document consists of the Parts indicated below, and which should be read in conjunction with any Corrigendum issued in accordance with ITA 7.
- Part I. Scope of Supplies
  - Part II. Instructions to Applicants (ITA)
  - Part III. Data Sheet (DS) to ITA
  - Part IV. Prequalification Criteria and Requirements
  - Part V. Forms
  - Part VI. Questionnaire for Applicants
- 5.2 Unless obtained directly from the Bank, the Bank shall not be responsible for the completeness of the document, responses to requests for clarification, or Addenda to the Application Document in accordance with ITA 7. In case of any discrepancies, documents issued directly by the Bank shall prevail.
- 5.3 An Applicant is expected to study all instructions, and forms in the Application Document and to furnish with its Application all information or documentation as is required by the Application Document.

### **6. Clarifications**

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

- 6.2 Any modification to the Application Document that may become necessary as a result of the clarifications to the queries shall be made by the Bank exclusively through the use of a Corrigendum pursuant to ITA 7.
- 7. Corrigendum of Application Document**
- 7.1 At any time prior to the deadline for submission of Applications, the Bank may amend the Application Document by issuing a Corrigendum.
- 7.2 Any Corrigendum or Addenda issued shall be deemed to be part of the Application Document and shall be published on the Bank's website.
- 7.3 Post Corrigendum, in order to allow sufficient time to the prospective Applicants in preparing their Applications, or for other good reason, the Bank may, at its discretion, extend the deadline for the submission of Applications in accordance with ITA 16.2.

### **C. Preparation, Submission and Opening of Applications**

- 8. Cost towards Application**
- 8.1 The Applicant shall bear all costs associated with the preparation and submission of its Application. The Bank will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the prequalification process.
- 9. Language**
- 9.1 The Application documentation and printed literature that are part of the Application, if in another language, shall be accompanied by an accurate translation of the relevant passages in English language, which shall be the governing language.
- 10. Documents constituting the Application**
- 10.1 The Application shall comprise the following:
- (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 Form A.1.1, included in Part V (Forms).
- 13. Documents**
- 13.1 To establish its qualifications in accordance with Part IV,

**Evidencing the  
Applicant's  
Qualifications**

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. Non-compliance to this clause may result in summary rejection of the Application.

13.2 If an Applicant does not manufacture or produce the goods it offers to supply; it shall submit documentation related to Manufacturer's Authorisation as specified in the **DS**.

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

- (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.

**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 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 pre-qualification 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-contractor(s), if any, proposed by the Applicant will not be considered for evaluation of the Application.
- 22.3 Only the qualifications of the Applicant, in the capacity as prime contractor/member of JV to the 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.

**26. Subsequent  
Invitation for Bids**

26.1 The Bank shall forward the list of prequalified firms to the Borrower for subsequent invitation of bids.

Part III. Data Sheet (DS) to ITA	
<b>A. General</b>	
<b>ITA 2.1</b>	<p>The identification of the Invitation for Pre-qualification (IFP) is: GOILOC-165/C-AF-CMR/SUPPLY-06</p> <p><b>The Bank's address is:</b> Export-Import Bank of India Maker Chamber IV, 8th Floor, 222 Nariman Point, Mumbai – 400 021 Tel : +91-22-2286 1567 / 2286 1563 Fax : +91-22-2282 3394 E-mail: <a href="mailto:eximloc@eximbankindia.in">eximloc@eximbankindia.in</a> Website: <a href="http://www.eximbankindia.in">www.eximbankindia.in</a></p>
<b>ITA 4.5</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. Contents of the Application Document**

<b>ITA 6.1</b>	<p>For <b>clarification purposes</b>, the Bank's address is:</p> <p>Ms. Meghana Joglekar Deputy General Manager Lines of Credit Group Export-Import Bank of India 8th Floor, Maker Chambers IV Nariman Point, Mumbai - 400 021 <u>E-mail: <a href="mailto:eximloc@eximbankindia.in">eximloc@eximbankindia.in</a></u></p>
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**C. Preparation, Submission & Opening of Applications**

<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>																					
<b>ITA 13.2</b>	Undertaking related to Manufacturer’s Authorisation in accordance with Form E.2.1 included in Part V of this Application Document.																					
<b>ITA 13.3</b>	<p>The source for determining exchange rates is: For conversion of foreign currency / Indian rupees (INR) to US Dollar, the Applicants shall use the Reference Rates of Foreign Currency published by Reserve Bank of India (<a href="http://www.rbi.org.in">www.rbi.org.in</a>)</p> <p>In case a particular currency rate is not published by Reserve Bank of India, then the selling rate of such currency shall be taken from the following website: <a href="http://www.oanda.com">http://www.oanda.com</a></p> <p>Applicants shall use the following rates for conversion between INR and USD:</p> <table><tr><th></th><th>USD 1 = INR</th><th>INR 1 = USD</th></tr><tr><td><b>31-Mar-11</b></td><td>44.6500</td><td>0.0224</td></tr><tr><td><b>31-Mar-12</b></td><td>51.1565</td><td>0.0195</td></tr><tr><td><b>31-Mar-13</b></td><td>54.3893</td><td>0.0184</td></tr><tr><td><b>31-Mar-14</b></td><td>60.0998</td><td>0.0166</td></tr><tr><td><b>31-Mar-15</b></td><td>62.5908</td><td>0.0160</td></tr><tr><td><b>31-Mar-16</b></td><td>66.3329</td><td>0.0151</td></tr></table>		USD 1 = INR	INR 1 = USD	<b>31-Mar-11</b>	44.6500	0.0224	<b>31-Mar-12</b>	51.1565	0.0195	<b>31-Mar-13</b>	54.3893	0.0184	<b>31-Mar-14</b>	60.0998	0.0166	<b>31-Mar-15</b>	62.5908	0.0160	<b>31-Mar-16</b>	66.3329	0.0151
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<b>31-Mar-15</b>	62.5908	0.0160																				
<b>31-Mar-16</b>	66.3329	0.0151																				

<b>ITA 14.1</b>	<p>Additionally, one (1) scanned 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>
<b>ITA 16.1</b>	<p><b>The deadline for Application submission is:</b></p> <p><b>Date: September 21, 2017</b></p> <p><b>Time: 18:00Hrs.</b></p> <p>For <b>application submission purposes only</b>, the Bank's address is:</p> <p>Bank's address is the same as that indicated in 2.1</p> <p><b>Attention: <i>Ms. Meghana Joglekar, Deputy General Manager</i></b></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>Date: September 22, 2017</p> <p>Time: 15:00 Hrs.</p>

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

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

### **Contents**

<b>A</b>	<b>General</b>	<b>22</b>
<b>B</b>	<b>Past Contract Performance and Litigation</b>	<b>22-23</b>
<b>C</b>	<b>Financial Status and Capacity</b>	<b>24-25</b>
<b>D</b>	<b>Experience</b>	<b>25-27</b>
<b>E</b>	<b>Quality Assurance</b>	<b>27-28</b>

**A. General**

<b>A.1 Nationality</b>	
<b>Requirement:</b>	<ul style="list-style-type: none"> <li>➤ The Applicant's Nationality shall be in accordance with ITA 4.3</li> <li>➤ Documentation and Attachments to be submitted as mentioned below</li> </ul>
<b>Documentation to be submitted</b>	Form A.1.1
<b>Attachments to be submitted</b>	Articles & Memorandum of Association, Certificate of Incorporation of the Applicant in accordance with ITA 4.3

<b>A.2. Eligibility</b>	
<b>Requirement:</b>	<ul style="list-style-type: none"> <li>➤ Applications from Joint Venture or a Consortium, or an Association (JVCA) will not be considered for the pre-qualification.</li> <li>➤ The Applicant shall not be under declaration as ineligible, as described in ITA 4.4 and 4.6</li> <li>➤ Documentation and Attachments to be submitted as mentioned below.</li> </ul>
<b>Documentation to be submitted:</b>	Application Submission Form
<b>Attachments</b>	<ul style="list-style-type: none"> <li>➤ The Applicant shall submit a copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorized, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant. A copy (self-attested) of such relevant company Board Resolution or equivalent document should also be attached.</li> <li>➤ Permanent Account Number (PAN): Self attested copy</li> <li>➤ TIN/Service Tax/Goods &amp; Service TAX (GST) Registration details, as applicable: Self attested copy</li> </ul>

**B. Past Contract Performance and Litigation**

<b>B.1 Past Contract Non-performance</b>	
<b>Requirement:</b>	<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>August 01, 2012.</b></li> <li>• Documentation and Attachments to be submitted as</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.

	mentioned below
Documentation to be submitted:	Form B.1.1
Attachments to be submitted:	Documents establishing details included in Form B.1.1

<b>B.2 Pending Contract Litigation</b>	
Requirement:	<ul style="list-style-type: none"> <li>Applicant shall have a positive adjusted net-worth* determined as per the audited financial statements for the latest financial year and the contractual litigation value as considered below net of provision made in the latest audited financial statements: <ul style="list-style-type: none"> <li>Litigation value shall be deemed to be 25% of the aggregate value pending litigation across all contracts 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> </ul> <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>B.3 Contract Litigation History</b>	
Requirement:	<ul style="list-style-type: none"> <li>There shall be no consistent history of court/arbitration award decisions related to contractual litigation against the Applicant<sup>2</sup>since <b>August 01, 2012</b>.</li> <li>The aggregate amount of awards against the Applicant, if any, since <b>August 01, 2012</b>, shall not exceed 25% of the net worth as per the latest audited financial statements.</li> <li>Documentation and Attachments to be submitted as mentioned below</li> </ul>
Documentation to be submitted:	Form B.3.1
Attachments to be submitted:	Documents establishing details included in Form B.3.1

<sup>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 may result in failure of the Applicant.



**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 latest 5 years (FY 2012-13 to FY 2016-17 or alternatively FY 2011-12 to FY 2015-16 as applicable) 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> <p>a. Positive net worth during each of the last five years.</p> <p>b. Positive profit (i.e. profit before tax) for at least 2 out of last 5 years.</p> <p>c. Annual Revenue<sup>3</sup> in atleast one (1) of the last five (5) financial years as defined above, be equal to or more than;</p> <table><tr><td>Lot - 1</td><td>Lot - 2</td><td>Lot - 3</td></tr><tr><td>USD 19.76 million</td><td>USD 7.56 million</td><td>USD 14.68 million</td></tr></table> <p>(ii) The Applicant shall demonstrate that it has access to, or has available, liquid assets, unencumbered real assets, lines of credit, and other financial means (independent of any contractual advance payment) sufficient to meet the project cash flow requirements of ongoing contracts including the present contract net of the Applicant’s other commitments. Minimum required liquidity and/ or credit facilities<sup>4</sup> to be made available shall not be less than;</p> <table><tr><td>Lot – 1</td><td>Lot - 2</td><td>Lot - 3</td></tr><tr><td>USD 4.94 Million</td><td>USD 1.89 million</td><td>USD 3.67 Million</td></tr></table> <p>(iii) In order to qualify for multiple packages, Applicant shall meet aggregate of the requirements stipulated for (i)(c) and (ii) above for each such package.</p> <p>(iv) Documentation and Attachments to be submitted as mentioned below.</p>	Lot - 1	Lot - 2	Lot - 3	USD 19.76 million	USD 7.56 million	USD 14.68 million	Lot – 1	Lot - 2	Lot - 3	USD 4.94 Million	USD 1.89 million	USD 3.67 Million
Lot - 1	Lot - 2	Lot - 3											
USD 19.76 million	USD 7.56 million	USD 14.68 million											
Lot – 1	Lot - 2	Lot - 3											
USD 4.94 Million	USD 1.89 million	USD 3.67 Million											
Documentation to be submitted:	Form C.1.1 and Form C.1.2 both certified by the Statutory Auditor of the Applicant.												
Attachments to be submitted:	The Applicant shall provide copies of audited financial statements for the latest <b>five</b> years (FY 2012-13 to FY 2016-17 or alternatively FY 2011-12 to FY 2015-16 as applicable).												

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

<sup>4</sup> Exchange rate prevalent as on the date of Invitation for Prequalification (IFP) shall apply

	<p>The financial statements shall:</p> <ul style="list-style-type: none"> <li>a) reflect the financial situation of the Applicant and not an affiliated entity (such as parent company or group member).</li> <li>b) be independently audited and certified by the Statutory Auditor/ Chartered Accountant in accordance with applicable legislation.</li> <li>c) be complete, including all notes to the financial statements.</li> <li>d) correspond to accounting periods already completed and audited.</li> </ul> <p>Supporting documents for additional financial means for likely future commitments.</p>
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#### D. Experience

<b>D.1 General Experience</b>	
Requirement:	<ul style="list-style-type: none"> <li>➤ Experience as Original Equipment Manufacturer (OEM) in supply and maintenance of Earth Moving Equipment, Trucks, Tractors, Equipment for Land Management, Planting, Crop maintenance or Harvesting, in India, during the last 7 years, starting <b>August 01, 2010</b>.</li> <li>➤ Documentation and Attachments to be submitted as mentioned below.</li> </ul>
Documentation to be submitted:	Form D.1.1 (to be prepared separately for experience in India and outside India)
Attachments to be submitted:	Final Acceptance/ Completion Certificate/ Testimonial Letters issued by the purchaser for each contract listed in Form D.1.1

D.2 Specific Experience	Refer Part I: Scope of Supplies																																																									
Requirement:	<p>(i) Experience of at least the number and value of similar contracts as mentioned below completed between <b>August 01, 2010 and application submission deadline: -</b></p> <table><tr><th></th><th>No. of Contracts</th><th>Value of Each Contract<sup>5</sup> (USD Million)</th></tr><tr><td colspan="3"><b>Lot No. 1:</b> Experience in supply and maintenance of earth moving equipment for opening of roads, clearing and land preparation along with spare parts.</td></tr><tr><td>Option I</td><td>3</td><td>USD 7.90</td></tr><tr><td colspan="3"><b>OR</b></td></tr><tr><td>Option II</td><td>2</td><td>USD 9.88</td></tr><tr><td colspan="3"><b>OR</b></td></tr><tr><td>Option III</td><td>1</td><td>USD 15.81</td></tr><tr><td colspan="3"><b>Lot No. 2:</b> Experience in supply and maintenance of Trucks – mounted with Cranes, Tankers and Trailers along with spare parts</td></tr><tr><td>Option I</td><td>3</td><td>USD 3.02</td></tr><tr><td colspan="3"><b>OR</b></td></tr><tr><td>Option II</td><td>2</td><td>USD 3.78</td></tr><tr><td colspan="3"><b>OR</b></td></tr><tr><td>Option III</td><td>1</td><td>USD 6.05</td></tr><tr><td colspan="3"><b>Lot No. 3:</b> Experience in supply and maintenance of Tractors with associated mountings and equipment including fabrication / installation for land management, planting, crop maintenance and harvesting along with spare parts</td></tr><tr><td>Option I</td><td>3</td><td>USD 5.87</td></tr><tr><td colspan="3"><b>OR</b></td></tr><tr><td>Option II</td><td>2</td><td>USD 7.34</td></tr><tr><td colspan="3"><b>OR</b></td></tr><tr><td>Option III</td><td>1</td><td>USD 11.74</td></tr></table>		No. of Contracts	Value of Each Contract <sup>5</sup> (USD Million)	<b>Lot No. 1:</b> Experience in supply and maintenance of earth moving equipment for opening of roads, clearing and land preparation along with spare parts.			Option I	3	USD 7.90	<b>OR</b>			Option II	2	USD 9.88	<b>OR</b>			Option III	1	USD 15.81	<b>Lot No. 2:</b> Experience in supply and maintenance of Trucks – mounted with Cranes, Tankers and Trailers along with spare parts			Option I	3	USD 3.02	<b>OR</b>			Option II	2	USD 3.78	<b>OR</b>			Option III	1	USD 6.05	<b>Lot No. 3:</b> Experience in supply and maintenance of Tractors with associated mountings and equipment including fabrication / installation for land management, planting, crop maintenance and harvesting along with spare parts			Option I	3	USD 5.87	<b>OR</b>			Option II	2	USD 7.34	<b>OR</b>			Option III	1	USD 11.74
	No. of Contracts	Value of Each Contract <sup>5</sup> (USD Million)																																																								
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<sup>5</sup>In case of contracts in INR, for contracts signed in FY 2016-17, the exchange rate prevalent as on the date of Invitation for Prequalification (IFP) shall be used to arrive at USD equivalent. For other contracts, the exchange rate as on 31<sup>st</sup> March of the financial year in which the contract was signed shall be used to arrive at the USD equivalent.

	<p><b><u>To be considered for multiple lots, the larger/ largest of the values for requirement (under a given Option) for the lots considered need to be satisfied in addition to meeting the technical aspects relevant to the lot under consideration.</u></b></p> <p>(ii) The Applicant shall be an Original Equipment Manufacturer (OEM) for not less than 40% of the number of line items per lot (as per Part I – Scope of Supplies) complying with the requirement under (i) above in terms of value and technical aspects.</p> <p>(iii) For items not manufactured by the Applicant:</p> <ol style="list-style-type: none"> <li>the supply shall be sourced from OEM(s) only; and</li> <li>the OEM(s) in (iii-a) above should be reputed manufacturer(s) with minimum seven (7) years of experience in manufacturing the equipment/machinery proposed for supply in respective lot(s);</li> </ol>
Documentation to be submitted:	Form D.2.1 per Lot applied for.
Attachments to be submitted:	<ul style="list-style-type: none"> <li>➤ For each Lot applied for, item-wise source of supply [i.e. manufactured by the Applicant or by other duly identified OEM(s)]</li> <li>➤ Final Acceptance/ Completion Certificate/ Testimonial Letters issued by the purchaser for each contract listed in Form D.2.1 for the Applicant</li> <li>➤ Final Acceptance/ Completion Certificate/ Testimonial Letters issued by the purchaser for similar equipment supplied in the past 7 years (per Lot as per the first bullet point above) by the other identified OEM(s)</li> </ul>

### E. Quality Assurance

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

<b>E.1 Certified Management System</b>	
Requirement:	ISO Accreditation / Certified Quality Management System is desirable
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
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**E.2 Manufacturer's Authorisation (Undertaking)**

Requirement:	<ul style="list-style-type: none"> <li>In the case of an Applicant who offers to supply and/or install equipment in accordance with Part I of the Application Document that the Applicant did not manufacture or otherwise produce, the Applicant shall submit an undertaking to submit Manufacturers' Authorization(s) for all equipment in favour of the Applicant to bid for the subsequent contract confirming warranty support, in the event of award of contract to the Applicant as a result of the bidding process subsequent to this prequalification.</li> <li>Documentation to be submitted as mentioned below.</li> </ul>
Documentation to be submitted:	Form E.2.1

**NOTE:****The Evaluation Criteria for Prequalification of Applicants**

Sr. No.	Description	Remarks
A.	General	Evaluation on Pass/ Fail basis
B.	Past Contract Performance and Litigation	Evaluation on Pass/ Fail basis
C.	Financial Status and Capacity	Evaluation on Pass/ Fail basis
D.	Experience	Evaluation on Pass/ Fail basis
E.	Quality Assurance	Full or Conditional prequalification

# Part V. Forms

## Table of Forms

Particulars	Form No.	Page No.
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Manufacturer's Authorisation (Undertaking)	E.2.1	42

## 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 4.4;
- (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 Willful 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 4.6;
- (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]*

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

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

## Form A.1.1

### Applicant Information Form

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>
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>
<p>1. Attached are copies of original documents of</p> <p><input type="checkbox"/> Articles &amp; 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 4.3.</p> <p>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.</p>

\* 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

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

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

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

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

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

Form B.2.1				
Pending Litigation, in accordance with Part IV, Prequalification Criteria and Requirements				
<input type="checkbox"/> No pending litigation in accordance with Part IV, Prequalification Criteria and Requirements, Sub-Factor B.2				
<input type="checkbox"/> Pending litigation in accordance with Part IV, Prequalification Criteria and Requirements, Sub-Factor B.2 as indicated below.				
Year of dispute	Amount in dispute (currency)	Contract Identification	Total Contract Amount (currency), USD Equivalent (exchange rate)	Amount of specific provision already made, if any
<i>[insert year]</i>	<i>[insert amount]</i>	Contract Identification: <i>[indicate complete contract name, number, date, value and any other identification]</i>  Name of Purchaser: <i>[insert full name]</i>  Address of Purchaser: <i>[insert street/city/country]</i>  Matter in dispute: <i>[indicate main issues in dispute]</i>  Party who initiated the dispute: <i>[indicate "Purchaser" or "Supplier"]</i>  Status of dispute: <i>[Indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]</i>	<i>[insert amount]</i>	<i>[insert amount in USD equivalent and specify exchange rate]</i>

Form B.3.1			
Litigation History, in accordance with Part IV, Prequalification Criteria and Requirements			
<input type="checkbox"/> No litigation since the date specified in Part IV, Prequalification Criteria and Requirements, Sub-Factor B.3.			
<input type="checkbox"/> Litigation Awards in accordance with Part IV, 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 Purchaser: <i>[insert full name]</i>  Address of Purchaser: <i>[insert street/city/country]</i>  Matter in dispute: <i>[indicate main issues in dispute]</i>  Party who initiated the dispute: <i>[indicate "Purchaser" or "Supplier"]</i>  Result of dispute: <i>[Indicate if resolution was treated by the Adjudicator, under Arbitration or dealt with by the Judiciary and whether resolved in favour or against the Applicant]</i>	<i>[insert amount in USD equivalent and specify exchange rate and date]</i>

## Form C.1.1

### Financial Status and Capacity

*[The following table shall be filled in for the Applicant and 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]*

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	Historic information for latest 5 years,				
	(amount in Indian Rupees)				
	<i>[Year 1]</i>	<i>[Year 2]</i>	<i>[Year 3]</i>	<i>[Year 4]</i>	<i>[Year 5]</i>
Statement of Financial Position (Information from Balance Sheet)					
Total Assets (TA)					
Total Liabilities (TL)					
Total Equity					
Current Assets (CA)					
Current Liabilities (CL)					
Working Capital (WC)					
Net Worth (NW)					
Information from Income Statement					
Total Revenue (TR)					
Profits Before Taxes (PBT)					
Cash Flow Information					
Cash Flow from Operating Activities					
Cash Flow from Investments					
Cash Flow from Financing Activities					

## 2. Sources of Finance

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

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

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

### B. Details of Other Liquid Assets such as fixed deposits, other liquid assets and any other financial means which may be used meet the cash flow requirements for works currently in progress by the Applicant

Sr No	Type of Liquid Assets	Amount
1.		
2.		
3.		

## 3. Financial documents

The Applicant shall provide copies of audited financial statements for latest five years pursuant to Part IV, Prequalification Criteria and Requirements, Sub-factor C.1. The financial statements shall:

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

- ☐ Attached are copies of audited financial statements for the latest **five** years required above; and complying with the requirements.
- ☐ Please note that printed Audited Annual Reports are to be certified by the Statutory Auditors duly signed and stamped.

## Form C.1.2

### Annual Turnover

*[The following table shall be filled in for the Applicant 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]*

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

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

Year	Amount (INR)			Exchange rate*	USD equivalent
	Contracts in India (A)	Overseas Contracts (B)	Total Turnover (C= A+B)		
<i>Year 1</i>					
<i>Year 2</i>					
<i>Year 3</i>					
<i>Year 4</i>					
<i>Year 5</i>					

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

## Form D.1.1

### General Experience

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

*[Identify contracts that demonstrate execution of contracts in India 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

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

**2. Experience outside India**

<b>Contract Identification</b>	<b>Country of Supply</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 the Applicant</b>
Contract Title: <i>[insert full name]</i> Brief Description of the supplies by the Applicant: <b>Amount of contract:</b> <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Purchaser: <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 Contractor, JV member or otherwise"]</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 Supply Experience

*[The following table shall be filled in for contracts performed by the Applicant]*

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

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

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

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

#### Information

Similar Contract No.	<b>[insert number] of [insert number of similar contracts required]</b>		
Contract Identification	<b>[insert contract name and number, if applicable]</b>		
Contract date	<b>[dd/mmm/yyyy]</b>		
Completion date	<i>Contractual:</i>		<i>Actual: [dd/mmm/yyyy]</i>
Role in Contract <i>[check the appropriate box]</i>	Prime Contractor <input type="checkbox"/>		Member in JV <input type="checkbox"/>
Total Contract Amount	<i>[insert total contract amount in contract currency]</i>		US\$ <i>[insert Exchange rate and total contract amount in US\$ equivalent]*</i>
If member in a JV, specify participation in total Contract amount	<i>[insert a percentage amount]</i>	<i>[insert total contract amount in local currency]</i>	<i>[insert exchange rate and total contract amount in US\$ equivalent]*</i>
Employer Details	Employer's Name: Address: Telephone, fax number, E-mail:		
Description of the similarity in accordance with Sub-Factor D.2 of Part IV:	<i>[Name the Sector/ Sub-sector]</i> <i>[Briefly mention the similarity in terms of sectoral characteristics]</i>		
<b>For the above contract, mention the following attributes</b>			
1. Capacity/ Physical size of key works items	<i>[insert capacity/ physical size of key work items]</i>		
2. Complexity	<i>[insert description of complexity in accordance with the technical aspects mentioned under Part IV D.2]</i>		
3. Methods/ Technology	<i>[insert specific aspects of the methods/ technology involved in the contract]</i>		
4. Rate of execution for key items	<i>[insert execution rates for key items]</i>		
5. Other Characteristics	<i>[insert other characteristics as appropriate]</i>		

\* 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

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

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

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

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

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

## Form E.2.1

### Manufacturer's Authorisation (Undertaking)

*[The Applicant shall require the Manufacturer to fill in this Form in accordance with the instructions indicated. This letter of authorization should be on the letterhead of the Manufacturer and should be signed by a person with proper authority to sign documents that are binding on the Manufacturer. The Applicant shall include in its Application, if so indicated in the ITA & DS]*

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

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

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

To: *[to be addressed to the Bank]*

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

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

Signed: *[insert signature(s) of authorized representative(s) of the Manufacturer]*

Name: *[insert complete name(s) of authorized representative(s) of the Manufacturer]*

Title: *[insert Title]*

Dated on \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ *[insert date of signing]*

## Part VI. Questionnaire for Applicants

Name of Applicant:

IFP No.: [insert IFP No.]

<b><u>Eligibility, Confirmation and Other Important Information</u></b>	<b><u>Response*</u></b>
1. Is your firm currently empanelled or prequalified for similar contracts. If yes, please provide details of Client, Country and Scope of Supply. 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, if applicable, has not engaged in any unethical practices in competing for this Prequalification.	Confirm: Yes___/No ____
3. Confirm that no official of the Bank has received or will be offered by your firm/organization or agents, any direct or indirect benefit arising from this prequalification or any resulting contracts.	Confirm: Yes___/No ____
4. Has your firm been suspended or debarred by any Multilateral Agency, or any government or government procuring entity, or a UN agency? If Yes, provide details, including date of reinstatement, if applicable. Attach additional sheets, if needed.	Yes___/No ____
5. Has your firm/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 penalized for delay in contractual performance in the last 5 years prior to Application submission deadline. If yes, please provide details in a separate sheet, as necessary.	Yes___/No ____
7. Has there been a termination of your firm's services for non-performance on a contract in the last 5 years prior to the month preceding the month of Application Submission Deadline? If Yes, please describe in detail in a separate sheet, as necessary.	Yes___/No ____
8. If prequalified, and subsequently awarded a contract by the Borrower Government, would your firm 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 7 <sup>th</sup> December 2015 on IDEAS Lines of Credit	Confirm: Yes___/ No ____

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

**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]*. By signing the Application Submission Form under IFP No *[insert IFP No.]* 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 of Authorized Signatory]*

Date: