

Application Document

for

**Prequalification of Engineering,
Procurement and Construction (EPC)
Contractors for the Project for
'Rehabilitation and Upgradation of
Potable Water System in Yendi, Ghana'**

**For Lines of Credit Projects under the Indian Development and
Economic Assistance Scheme (IDEAS)**

Export-Import Bank of India



**INVITATION FOR PREQUALIFICATION OF EPC CONTRACTORS FOR
GOVERNMENT OF INDIA LINE OF CREDIT (LOC) PROJECT**

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

These Lines of Credit (LOCs) are governed by the Guidelines issued by the GOI from time-to-time. As per the extant guidelines issued vide letter F.No. 5/7/2019-IDEAS dated March 31, 2022, the Bank is required to carry out a prequalification exercise and provide a list of prequalified bidders to the Borrower for invitation of bids for specific contract packages under the project(s) financed by the LOCs .

In pursuance to the above, the Bank invites Applications from eligible Indian entities for prequalification of an EPC Contractors for 'Construction of the project Rehabilitation and Upgradation of Potable Water System in Yendi, Ghana' under a Line of Credit extended to the Government of Ghana.

An upfront and non-refundable Processing Fee of INR 50,000 plus applicable GST (presently 18%) is payable through NEFT transfer as per details given below:

[i]	Applicant's Name	<Applicant's Name>
[ii]	Name of Beneficiary	Export-Import Bank of India
[iii]	Beneficiary's Bank Name	Export-Import Bank of India
[iv]	Account No.	HO00INR11011004
[v]	IFSC Code	EIBIOHO0001
[vi]	GST Number	27AAACE2769D1ZS
[vii]	Narration for NEFT	GOILOC-235/Ghana/EPC-84

The preparation and submission of Application for Prequalification is **required in physical mode** in accordance with the provisions of the Application Document.

Completed Applications (off-line) in accordance with the provisions of the Application Document along with NEFT acknowledgement receipt should be delivered physically by 15:00 hours, July 21, 2022 at the following address:

Mr. Ashok Kumar Vartia
Deputy General Manager
Export-Import Bank of India
Office Block, Tower 1, 7th Floor,
Adjacent Ring Road, Kidwai Nagar [East]
New Delhi -110023
E-mail: eximloc@eximbankindia.in
Website: www.eximbankindia.in

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

Part I. Scope of EPC

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 the 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 Engineering,
Procurement and Construction (EPC)
Contractors for the Project for
‘Rehabilitation and Upgradation of
Potable Water System in Yendi, Ghana’**

**Invitation for Prequalification
No.: GOILOC-253/Ghana/EPC-84**

Issued on: June 21, 2022

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Part I: Scope of EPC

The Export-Import Bank of India (Exim Bank or the Bank), on behalf of the Government of India (GOI), has approved financing of a project out of a Line of Credit extended to the Government of Ghana for construction of the project for 'Rehabilitation and Upgradation of Potable Water System in Yendi, Ghana', for which Exim Bank now seeks applications for prequalification from eligible Indian entities. Refer Part II ITA 4 for eligibility provisions.

A. Background and Major Components of the Project

BACKGROUND

Ghana is in a period of rapid urbanization that outstrips the current levels of urban water supply. Ghana Water Company Limited (GWCL), currently operates 89 urban water systems. Water is rationed to many consumers with only a few able to get 24 hours supply. In the peri-urban areas and the densely populated poor urban areas customers receive supplies once a week or none.

Ghana has made steady progress towards the Sustainable Development Goals. Poverty has fallen nationwide. The proportion of people living in poverty has also declined steadily including the three poorest Northern regions where access to basic social services has improved significantly, albeit from a very low base. Almost all studies and indicators show substantially higher levels of deprivation in the northern savannah region compared to the south. The Northern Region has water supply coverage averaging about 24% which is below the national coverage of 71%.

The Yendi water supply system supplies water to Yendi Municipality and other surrounding communities. The water supply system draws its raw water from the River Daka, which flows near a water treatment facility, built in 1961.

As a result of population and economic growth in Yendi Municipality, it has become necessary to expand the existing water supply system to meet the water demand of the beneficiary town and communities, which has increased considerably over the past years.

It is the policy of the ruling Government to ensure that by the year 2030 all people living in Ghana will have potable water. Providing potable water to over 133,000 people, as this project seeks to achieve, will be a giant step towards achieving this feat.

The Yendi Municipality contributes significantly to the agricultural fortunes of Ghana producing large activities of arable crops like maize, yam, cassava, rice. The catchment area also has an iron ore deposit which can generate economic activities like mining. The supply of potable water to the area will not only act as an impetus to increase agricultural production but also assist in boosting the mining potential of the area.

The present Water Supply System is inadequate in terms of capacity, reliability, and coverage. During the dry season extending from November to March, the situation is considered very difficult and unsatisfactory by the inhabitants. Water is rationed and reaches the different zones of **Yendi town** only once a week. The distribution through standpipes is further limited as some are generally opened by the operator only in morning and evening hours.

The distribution network of undersized pipes covers mainly the old parts of the town, while the newly developed areas where water revenue can be collected easily have no water network. Only a few consumers are provided with house connections. The average production of the system being operated by GWCL, using Daka River as a source is about 2,100 cu.m/day and average consumption of 38 lpcd is much below the established design standard.

Hence, there is urgent need of improving the water supply system and thereby effect improvement in living standards of people living in Yendi and surrounding peri-urban communities.

As surface water from Daka river cannot be relied upon as a sustainable source of raw water, Oti river, which is found sufficient for ultimate demand during all seasons of the year has been proposed to be used as source of raw water.

The project scope includes:

- I. Abstraction of raw water from River Oti by constructing intake at river
- II. Construction of a 20,000 m³/day capacity conventional water treatment plant based on rapid sand filtration.
- III. Laying of Main Clear Water Transmission Pipeline (approx. 27 Km)
- IV. Construction of Booster Stations
- V. Construction of Storage Reservoirs (1 No. Ground level and 4 Nos. elevated reservoirs)
- VI. Laying of Water Distribution Network of 264 Km.

The salient features of the project are given below:

S. No.	Type of Structure	Qty.	Capacity	Remarks
1.	Intake Tower	1 No.	RCC Tower, 7 m internal diameter and 23 m height	For ultimate year demand of 30.263 MLD
2.	Raw Water Pumping Machinery Vertical Turbine Pumps	3 Nos.	510 m ³ /hr. with 50 m head	For intermediate year demand of 18.897 MLD
3.	Raw Water Transmission Main	470m	DI K-9 500 mm dia	For ultimate year demand of 30.263 MLD
4.	WTP, Based on Rapid Sand Filtration	1 No.	20 MLD	For intermediate year demand of 18.897 MLD
5.	RCC Clear Water Sump	1 No.	20m × 16m and SWD 4m	For intermediate year demand of 18.897 MLD
6.	High Lift Pumping Station for treated water			
	a) Pump House	1 No.	16.7m×8.25m	For ultimate year demand of 30.263 MLD
	b) Pumping Machinery Horizontal Centrifugal	4 Nos.	485 m ³ /hr. with 160m head	For intermediate year demand of 18.897 MLD
7.	Treated water transmission Main			
	a) WTP to Yendi	27 Km	DI K9 600mm dia	For ultimate year demand of 30.263 MLD
	b) Take off point at RD 3,248m to ER	100m	DI K9 150mm dia	

	Satumbo			
	c) Take off point at RD 19,667m to ER Zang	100m	DI K9 100 mm dia	
8.	Transfer Station			
	a) Pump House	1 No.	16.7m×8.25m	For ultimate year demand of 30.263 MLD
	b) RCC Ground Level Reservoir	1 No.	5000 m³	For intermediate year demand of 18.897 MLD
	c) Pumping Machinery Horizontal Centrifugal	2 Nos. 2 Nos.	440 m³/hr. -50m head 320 m³/hr. -30m head	For intermediate year demand of 18.897 MLD
9.	Secondary Transmission Main			
	a) Pump House to ER Zone 1	100m	DI K9 400 mm dia	For ultimate year demand of 30.263 MLD
	b) Pump House to ER Zone 2	5 km	DI K9 400 mm dia	
	c) From Pump House to ER (Existing) Zone 2A	430m	DI K9 200 mm dia	
10.	Pressed Steel Elevated Reservoirs			
	a) Zone 1 Yendi	1 No.	Capacity- 1200 m3 Staging Ht. 20 m	For ultimate year demand of 30.263 MLD
	b) Zone 2 Yendi	1 No.	Capacity 1200 m3 Staging Ht. 20m	
	c) Zang	1 No.	Capacity 100 m3 Staging Ht. 20m	
	d) Satumbo	1 No.	Capacity 400 m3 Staging Ht. 20m	
11.	Distribution Pipelines			
	a) Yendi	230 km	PE 100, PN10 HDPE Pipelines with diameter from 110m to 630m, total length of 196 km	For ultimate year demand of 30.263 MLD
	b) Zang Area	8 km	PE 100, PN10 HDPE Pipelines with diameter from 50m to 160m, total length of 8 km	
	c) Satumbo Area	26 km	PE 100, PN10 HDPE Pipelines with diameter from 50m to 250m, total length of 26 km	
12.	Rehabilitation of existing ER Yendi	1 No.	Capacity 420 m3 Staging Ht. 18m	

13.	House connections	8000 Nos.		
14.	Standpipes			
	Zang Area	37Nos.		
	Satumbo area	182 Nos.		
15.	DG Sets for Intake, WTP and Yendi Transfer Station	1 No. each	160 kVA for Intake, 600 kVA for WTP; and 200 kVA for Yendi Transfer Station	For intermediate year demand of 18.897 MLD
16.	House connections	8000 Nos.		

1] Site and other Data

Yendi is in the eastern corridor of the Northern Region and is the capital of Yendi District. The District shares boundaries with Saboba Cheron and Tatale Zabzugu districts to the east, East Gonja and Nanumba-North districts to the South, Gushiegu and Karaga Districts to the North and Savelugu and Tamale Municipal district to the West. Yendi is about 95 km from the Northern Regional Capital Tamale. Temperature ranges between 21 °C to 36 °C. The land is very dry, hot and dusty for most of the year, with a few months of flooding rains around May-September. The people around Yendi are predominately subsistence farmers, battling a long dry season and poor soil.

The Yendi area is underlain entirely by the well consolidated sediments of the Middle Voltaian System, characterized by alternating greenish grey siltstone, mudstone, and sandstone. The Middle Voltaian system is divided into the Obosum and the Oti Formations. The Oti Formation occurs at west of Yendi Town in an elongated north-south direction (WARM, 1997). Stratigraphically, the Oti formation consists of thick beds of siliceous sandstones, pebbly grits and arkosic conglomerates. The Obosum formation surrounds the town itself and comprises stratigraphically of beds of argillaceous sandstones, arkose, siltstone, inter-bedded mudstone, sandy shale and conglomerates. These generally well consolidated rocks are mainly flat lying or gently dipping with few outcrops and usually overlain by a thick weathered layer.

Hydrologically, Yendi lies in the Oti-Daka basin. The Oti-Daka river basin is shared between Ghana, Burkina Faso, Togo and Benin. The basin occupies an area of about 75,110 km² out of which only 16,801 km² lies in Ghana.

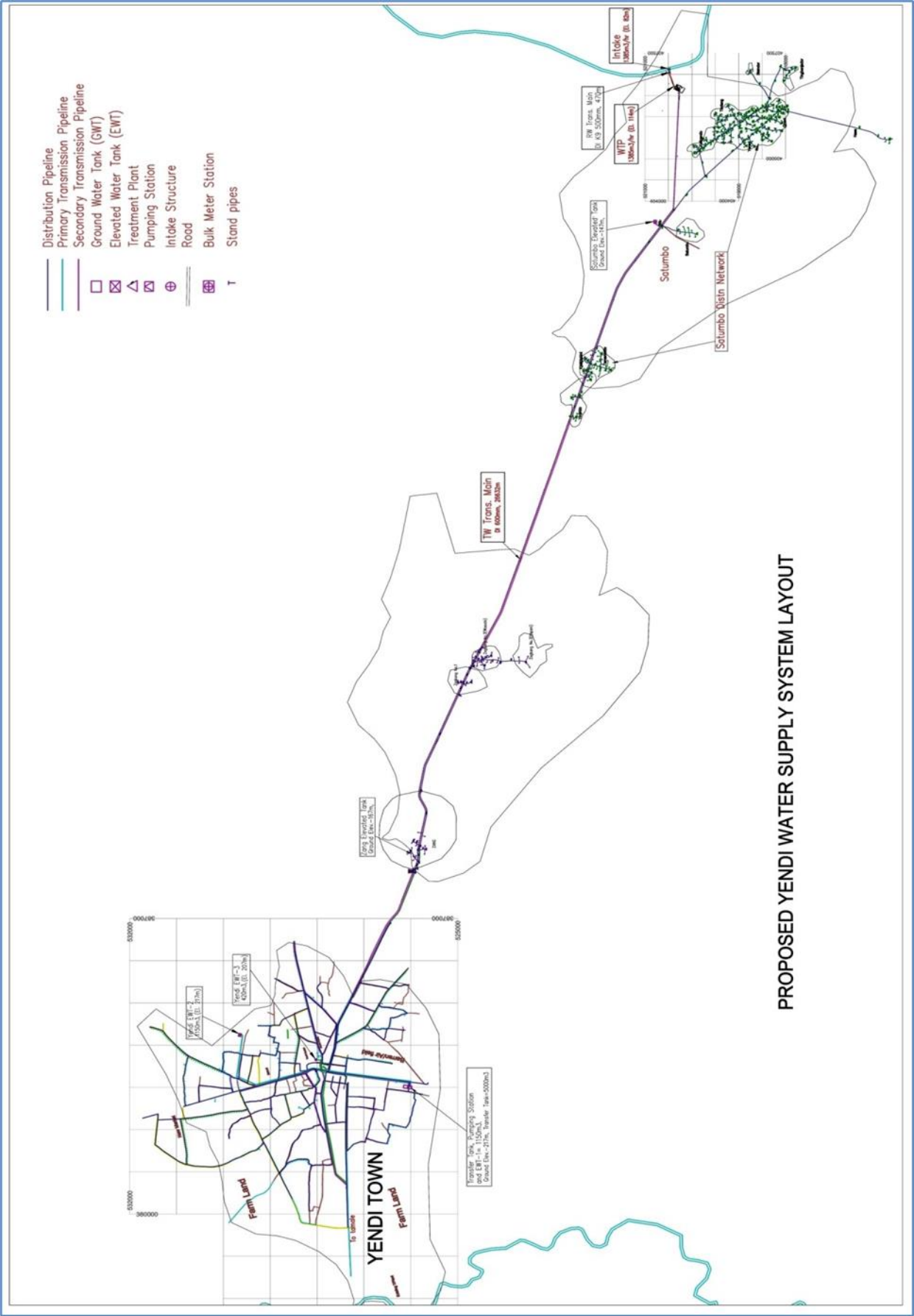
2] Project Background

The overall objective of the project is construction components like intake at raw water source, raw water transmission pipelines, construction of water treatment plant, clear water transmission pipelines, construction of elevated and ground level reservoirs, installation of pump sets and electro-mechanical equipment's and laying of distribution network in Yendi Town and nearby communities.

Location:

The project area is in Eastern corridor of Northern Region of Ghana in District Yendi and comprises of following towns and communities:

S.No	Town/ Community Name	Region/District
1	Yendi Town	Yendi District
2	Kuga	
3	Gundogu	
4	Zang	
5	Satimbu	
6	Kpalgigbini	
7	Yinjirido	
8	Tamambido	
9	Zagbang No.1	
10	Zagbang No.2 (Wasado)	
11	Zagbang No.3 (Nkpani)	
12	Kalipando	
13	Tindang	
14	Yareni	
15	Bisindor	
16	Gnani	
17	Tingbajador	
18	Nasa	



PROPOSED YENDI WATER SUPPLY SYSTEM LAYOUT

B. Scope of EPC Works

The scope of work includes the following components for executing the project 'Rehabilitation and Upgradation of Potable Water System in Yendi, Ghana as under:



Components of the Project

I. Construction of Raw Water Intake.

- a. Construction of intake tower at River Oti including access road from riverbank to intake tower entrance constructed of Reinforced Cement Concrete
- b. Supplying and installation of raw water submersible pumping machinery of suitable capacity including all electrical & mechanical equipment.
- c. Supplying and laying of electric line from WTP to intake pumping machinery.

II. Raw water transmission main

Design, Supply, laying and jointing of raw water Transmission mains of DI pipe including testing and commissioning. This pipe shall be laid underground with a minimum earth cover of 1m over its top.

SL No.	Length in (m)	Diameter of Pipe(mm)	Material
1	470	500	DI (K-9)

III. Construction of Water treatment plant

- a) Designing, Constructing, testing, commissioning operation & maintenance for 5 years after defect liability period of 12 months after successful trial run of 3 months of 20 MLD capacity automated WTP based on rapid sand filtration including all electrical & mechanical, PLC, instrumentation, and SCADA system.
- b) Supply and installation of pump sets/ multistage pump sets with all connections both electrical and mechanical, NRV, surge protection, PLC, panels as per the prescribed standards.
- c) Construction of control room with PLC integrated to all the system at the WTP location, laboratory facility with standard dimensions of windows, Doors, ventilators, etc., lighting arrangements as per the terms of the contract.
- d) Construction of operator house and security room at the WTP location, with standard dimensions of windows, Doors, ventilators, etc., including, landscaping, security fencing with gate and providing of Power, Water supply, internal and external lighting arrangements as per the terms of the contract.

IV. Clear water transmission main

Supplying, laying and jointing of clear water Transmission mains of DI pipe including excavation of trenches, supplying and fixing of Air valves, Scour valves and Sluice valves as per the design of transmission line, construction of valve chamber, back filling of trenches after laying of pipeline, testing the entire pipeline to the required test pressure and commissioning the system. The pipe shall be laid underground with a minimum earth cover of 1m over its top.

V. Construction of Storage Reservoirs

(a) Elevated Reservoirs:

Construction of Elevated Storage reservoirs of the following capacities as mentioned in the table below, including all pipe connection for inlet, outlet, scour, providing electricity and water supply, stainless steel access ladders/ Staircase for inside and outside, headroom, providing lighting in the compound and including fixing of necessary valves at appropriate positions and testing the reservoir for water tightness and structural stability. This includes construction of guard house along with fencing the entire reservoir site, providing gate and landscaping, pipe outlets for gardening around the compound at each reservoir complex, and providing electromagnetic flow meters at outlet of every reservoir and with construction of associated valve chambers.

Zone	Capacity (m ³)
1	1,200
2	1,200
At Satumbo	400
At Zang	100

(b) Ground Level Reservoir:

Construction of a Ground water RCC Reservoir in Yendi with capacity of 5,000 m³, including all pipe connection for inlet, outlet, scour, providing electricity and water supply, stainless steel access ladders/ Staircase for inside and outside, headroom, providing lighting in the compound and including fixing of necessary valves at appropriate positions and testing the reservoir for water tightness and structural stability.

VI. Boosting stations

Construction of boosting station with components as RCC ground level storage reservoir, pump house, supply and erection pumping machinery, overhead crane and girder arrangements, construction of guard house along with fencing, all pipe connections for inlet, outlet etc. providing electricity and water, providing lighting in the compound and testing the reservoir for water tightness and structural stability as per the terms of the contract.

Supply and erection of the pump sets with transformers as per the standards and procuring power supply to the boosting stations, providing NRV, electromagnetic flow meters along with construction of associated valve chambers.

Details of Pumps are hereunder:

1. **Raw Water Pumping Station at Intake:** (2 Nos. + 2 Nos. Standby) with each Capacity of $Q=510\text{m}^3/\text{hr.}$ with 50m head.
2. **Main Pumping Station at WTP:** (2 Nos. + 2 Nos. Standby) with each Capacity of $Q=485\text{m}^3/\text{hr.}$ with 160m head.
3. **Booster Pumping Station in Yendi:**
 - **Zone-2 and 2A:** (1 No. + 1 No. Standby) with each Capacity of $Q=440\text{m}^3/\text{hr.}$ with 50m head.
 - **Zone-1:** (1 No. + 1 No. Standby) with each Capacity of $Q=320\text{m}^3/\text{hr.}$ with 30m head.

VII. Distribution network in the town and rural communities

Supplying, laying, stringing, cutting, jointing, testing and commissioning of approx. 264 Kms long HDPE Pipelines including excavation of trenches in all types of soil/rock for required depth and backfilling of trenches after laying of pipelines according to the drawings and specifications.

VIII. House service connections & Standpipes

1. Providing House Connections (approx. 8,000 nos.) including Supply and Installation of pipe, fittings, water meter complete with accessories, water tap etc. complete in all respects.
2. Providing required nos. of standpipes including supplying, installation fitting; testing with all accessories, construction of concrete platform and drainage arrangement etc. complete in all respects.

C. Contract execution period

The duration of the project is expected to be 36 months including 12-months DLP.

D. Other Information

None

E. GOI Guidelines

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

<https://www.eximbankindia.in/assets/pdf/loc/GOI-Guidelines-on-LOC.pdf>

Applicants are also advised to refer to the Public Procurement Orders nos. 1 & 2 dated July 23, 2020 and Public Procurement Order no. 3 dated July 24, 2020 issued by the Public Procurement Division of the Department of Expenditure (DOE), Ministry of Finance, Government of India, which are applicable to the current prequalification process.

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 EPC and subject to the provisions of this Application Document.
- 3. Ethics and Integrity**
 - 3.1 The Bank requires Applicants to participate in this prequalification process with the highest standards of ethics and integrity. It is strictly forbidden to the parties involved in the prequalification process, by themselves or by a third party, to offer, ask or accept for itself or for a third party, financial or non-financial advantage or even direct or indirect promise or any other acts¹, as offsets for prequalification or bidding or contract award and execution as applicable, if susceptible of being qualified as criminal unlawful acts in accordance with national laws of any party involved.
 - 3.2 In pursuance of ITA 3.1 above, Applicants shall permit the Bank to inspect all accounts, records and other documents relating to the submission of the Application, bid submission (in case prequalified), and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.
 - 3.3 If, in accordance with the administrative procedures of the Bank, it is demonstrated that an Applicant in this prequalification process, or during the subsequent bidding for the contract(s) has violated the provisions stated in ITA 3.1 above, the Bank, inter alia,
 - a. shall reject any Application for prequalification or proposal to award a contract in connection with the subsequent procurement process, as applicable; and/or
 - b. may declare an Applicant, temporarily or permanently, ineligible to be awarded future contracts under Bank funding.

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

4. Eligibility of Applicants

- 4.1 This prequalification exercise is open to only Indian Applicants in accordance with the provisions of ITA 4.4. Any form of association by the Applicant with ineligible entities either during this prequalification process or subsequent bidding process may be liable for rejection.
- 4.2 For the purpose of applying the eligibility criteria listed in this article 4, “Applicant” would include the single entity or in case of a joint venture (“JV”), each member of the JV, involved or intended to be involved with this prequalification process (as mentioned in Form A.1.2 Applicant’s JV Member’s Information Form), for any part of the prospective contract(s) including related services.
- 4.3 An Applicant may be a single entity or a combination of entities in the form of a JV either existing or with the intent to enter into a JV supported by a letter of intent or JV Agreement listing out the names of all the JV members. In the case of a JV, all members shall be jointly and severally liable for the execution of the 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 blacklisted/ debarred/ sanctioned by any Multilateral Development Agency (MDA) or any authority in India or the borrowing country in accordance with extant rules and procedures, shall be ineligible to participate in the prequalification/ bidding process as applicable, during such period of time as the sanctioning authority shall have determined. In case the Applicant is blacklisted/ debarred/sanctioned, post the prequalification process (i.e., including during bidding process and/or contract implementation phase), the Applicant shall immediately inform Exim Bank of such blacklisting/debarment/sanction and reasons thereof. This may lead to cancellation of Applicant’s prequalification / contract.
- 4.6 The list of debarred firms and individuals by certain leading MDAs is available as specified in the **DS**. This may not be an exhaustive list of debarred entities but those which are made available centrally on the respective MDA’s website. Additionally, there could be lists of debarred entities issued by various government departments/ procuring entities/ corporations and maintained offline.
- 4.7 An Applicant shall be ineligible to be prequalified if (a) it is currently under default on any loan to any Bank/ Financial Institution (FI) and its account has been classified as Non-Performing Asset (NPA) as per Central

Repository of Information on Large Credits (CRILC) database; and/or (b) its promoters/directors appear in Negative List, RBI Wilful Defaulter List (Suit filed as well as non-suit filed), Credit Information Bureau India Ltd. (CIBIL) Defaulter List and/or any other negative list of central and/or state government agencies, updated from time-to-time. On being included in any of the above lists post the prequalification process (i.e. including during bidding process and/or contract implementation phase), the Applicant shall immediately inform Exim Bank on the inclusion and reasons for inclusion thereof. This may lead to cancellation of Applicant's prequalification / contract.

- 4.8 **An Applicant shall (i) be eligible with respect to the provisions of Public Procurement Orders Nos. 1 & 2 dated July 23, 2020, and Public Procurement Order No. 3 dated July 24, 2020 issued by the Public Procurement Division of the Department of Expenditure, Ministry of Finance, Government of India; and (ii) furnish such evidence of eligibility satisfactory to the Bank, as the Bank shall reasonably request.**

B. Composition of the Application Document

5. Contents of this Document

- 5.1 This Application Document consists of the Parts indicated below, and which should be read in conjunction with any Corrigendum issued in accordance with ITA 7.
- Part I. Scope of EPC
 - Part II. Instructions to Applicants (ITA)
 - Part III. Data Sheet (DS) to ITA
 - Part IV. 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, or any extension thereof, 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 Forms A.1.1 and A.1.2, included in Part V (Forms).
- 13. Documents Evidencing the Applicant's Qualifications**
- 13.1 To establish its qualifications in accordance with Part IV, Prequalification Criteria and Requirements, the Applicant shall provide the information requested in the corresponding Forms included in Part V without any alteration to the format. Applicant shall also complete the Questionnaire included in Part VI without any alteration to the questions. Each Form included in Part V and the Questionnaire in Part VI shall be duly signed by

the authorized representative of the Applicant. In case of JV, authorized representative of the respective member shall sign. Non-compliance with this clause may result in summary rejection of the Application.

13.2 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) Exchange rates shall be taken from the publicly available source identified in the **DS**. Any error in determining the exchange rates in the Application may be corrected by the Bank during evaluation;
- (b) For data related to financial statements, the amounts shall be mentioned in Indian Rupees (INR). Equivalent amount in USD shall be arrived at using the exchange rate as on 31st March of respective financial year as specified in the **DS**;
- (c) for data related to Liquidity, Annual Residual Contract Value and contracts signed in the current financial year, unless otherwise specified in the **DS**, the exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall be used to arrive at the USD equivalent as specified in the **DS**; and
- (d) for contracts signed prior to the current financial year, the exchange rate as on 31st March of the respective financial year in which the contract was signed shall be used to arrive at the USD equivalent as specified in the **DS**.

**14. Authorized
Signatory and
Number of Copies**

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

**15. Preparing the
Application
Envelope**

15.1 The Applicant shall enclose the original Application in a sealed envelope that shall:

- (a) be addressed to the Bank, as per ITA 16.1;
- (b) mention the name and address of the Applicant; and
- (c) mention the specific identification of this prequalification process indicated in the **DS** ITA 2.1.

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

**16. Application
Submission
Deadline**

16.1 Applicants must submit their Applications in dual mode (on-line as well as off-line). Applications shall be received by the Exim Bank at the address and no later than the deadline indicated in the **DS**.

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

17. Late Applications

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

18. Opening of Applications

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

D. Procedures for Evaluation of Applications

19. Evaluation to be Confidential

- 19.1 Information relating to the Applications, their evaluation and result shall be confidential and will not be disclosed to Applicants or any other person(s) not officially concerned with the prequalification process until the official notification of prequalification results is made in accordance with ITA 25.
- 19.2 From the deadline for submission of Applications to the time of notification of the results of the prequalification in accordance with ITA 25, any Applicant who wishes to contact the Bank on any matter related to the prequalification process (except as specified in ITA 20.1 below), may do so only in writing. Canvassing in any form will be grounds for disqualification.

20. Clarifications during Evaluation

- 20.1 During the evaluation of Applications, in case of ambiguity, the Bank may, at its discretion, ask an Applicant for a clarification of its Application, to be submitted within a stated reasonable period of time. Any request for clarification from the Bank and all clarifications from the Applicant shall be in writing. Any clarification submitted by an Applicant that is not in response to a request by the Bank may not be considered.
- 20.2 If an Applicant does not provide (within the time allowed) clarifications and/or documents requested as per the Bank's request for clarification, its Application shall be evaluated based on the information and documents available at the time of evaluation of the Application.

21. Determination of Responsiveness of Applications

- 21.1 The Bank may reject any Application which is not responsive to the requirements of the Application Document and may not subsequently be made responsive by correction of the causes of non-responsiveness or by substitution or resubmission of the Application or part thereof.

E. Evaluation of Applications and Prequalification of Applicants

22. Evaluation of Applications

- 22.1 The Bank shall use the criteria and requirements defined in Part IV, Prequalification Criteria and Requirements, to evaluate the qualifications of the Applicants, and no other methods, criteria, or requirements shall be used. The Bank reserves the right to waive minor deviations from the prequalification criteria if they do not materially affect the technical capability and financial resources of an Applicant to perform the contract.
- 22.2 The qualification and experience of sub-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 project employer, shall be considered. In particular, the qualifications of parent or subsidiary or any other affiliated company of the Applicant, who is not member of the JVCA except as permitted by ITA 4.3, shall not be considered.
- 22.4 The qualification and experience of the Applicant² for execution of supplies/ works/ 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. However, the experience of the SPV can be considered in favour of the Applicant provided it is established through documentary evidence that the SPV was established by the Applicant pursuant to a concession granted/ requirement stipulated by a Project Authority who is unrelated to both the Applicant and the SPV and the Letter of Acceptance of bid/ Letter of Award was issued by the Project Authority in favour of the Applicant or a JV comprising the Applicant. Further, the FAC issued by the Project Authority should indicate that the Project was executed by the Applicant as an EPC contractor.

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

² In case of a public sector Applicant with majority shareholding by the government, experience of execution of supplies/ works/ contracts for government organizations/ enterprises/ JVs shall be considered provided that such organizations/ enterprises are not under the same administrative ministry/ department through which the government holds majority shareholding in the Applicant, unless such supplies/ works/ contracts were awarded to the Applicant through an open competitive process.

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	
A. General	
ITA 2.1	<p>The identification of the Invitation for Prequalification (IFP) is: GOILOC-253/Ghana/EPC-84</p> <p>The Bank's address is: Export-Import Bank of India Office Block, Tower 1 7th Floor, Adjacent Ring Road Kidwai Nagar [East] New Delhi -110023 Tel :+91 – 11 – 23474829/23474800 Email : eximloc@eximbankindia.in Website: www.eximbankindia.in</p>
ITA 4.3	<p>The lead partner of the JV shall be the one with the highest share in the JV which shall not be less than 26%. The maximum number of other members in the JV shall be such that each of the other members should have at least 20% share. The JV can be either an incorporated JV company or an unincorporated consortium/ association [JVCA] based on a memorandum of understanding. In case of unincorporated JVCA, the share shall be determined based on the share in the proceeds of the contract [in terms of percentage] being bid for. In other words, if prequalified and invited to bid, the share of JV members in the contract in terms of value shall be in the proportion as stated above.</p> <p>The Letter of Intent to enter into a JV or JV agreement should contain, inter alia, the following:</p> <ul style="list-style-type: none"> - Names of the Lead Partner and each of the other members - Percentage share of each JV member - Confirmation of Joint and Several Liability of all members of the JV <p>The JV is permissible at prequalification Stage only. The JV which is prequalified will be sustained for the entire bidding process. JV among prequalified EPC Contractors and non-prequalified EPC Contractors or any other entity is not allowed subsequent to prequalification stage. No change of JV members or change in percentage (%) of share in JV is allowed subsequent to prequalification. A member of JV shall not be permitted to participate either in individual capacity or as a member of another JV in the same contract package in a prequalification process.</p> <p>The JV shall nominate a Lead Partner who shall have the authority to conduct all business for and on behalf of any and all the partners of the JV during the prequalification process, tendering process and, in the event the JV is awarded the Contract, during contract execution.</p> <p>In the event of award of final contract to any JV, all the payments to the JV shall be made to the bank account of the JV and not to the account of individual member(s).</p> <p>The Joint Venture Agreement shall in all respect be governed by and interpreted in accordance with Indian Laws.</p>

ITA 4.6	<p>A list of debarred firms and individuals by: The World Bank is available on the website: http://www.worldbank.org/debarr</p> <p>The Asian Development Bank is available on the website: http://lnadbg4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&count=999</p> <p>The African Development Bank is available on the website: http://www.afdb.org/en/projects-and-operations/procurement/debarment-and-sanctions-procedures/</p> <p>The European Bank for Reconstruction and Development is available on the website: http://www.ebrd.com/pages/about/integrity/list.shtml</p> <p>The Inter-American Development Bank is available on the website: http://www.iadb.org/en/topics/transparency/integrity-at-the-idb-group/sanctioned-firms-and-individuals,1293.html</p>
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B. Contents of the Application Document

ITA 6.1	<p>For clarification purposes, the Bank's address is:</p> <p>Mr. Ashok Kumar Vartia Deputy General Manager Export-Import Bank of India Office Block, Tower 1 7th Floor, Adjacent Ring Road Kidwai Nagar [East] New Delhi -110023 Email: eximloc@eximbankindia.in</p>
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C. Preparation, Submission & Opening of Applications

ITA 10.1 (d)	<p>The preparation and submission of Application Form will be physical:</p> <p>The applicant shall forward a hard copy of its application along with a covering letter clearly indicating the name of the project and the Prequalification Reference No.</p> <p>The Applicant shall submit with its application, the following additional documents as attachment to the Application Submission Form:</p> <p>The Applicant shall submit a copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorized, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant. Copy (self-attested) of such relevant company Board Resolution or equivalent document should also be attached.</p> <p>In case the Applicant is a JV, the Applicant shall submit a copy (self-attested on all pages) of Powers of Attorney for each member of the JV along with a copy (self-attested) of relevant Board Resolutions or equivalent documents.</p>
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	<p>Note: It is mandatory for Applicants to submit the Application in Physical (Hard copy and pen drive). Any Application not submitted in accordance with the requirements mentioned in this Clause will be liable for rejection.</p>																																							
ITA 13.2	Undertaking related to Manufacturer’s Authorisation in accordance with Form E.4.1 included in Part V of this Application Document.																																							
ITA 13.3	<p>The source for determining exchange rates is: For conversion of foreign currency / Indian rupees (INR) to US Dollar, the Applicants shall use the Reference Rates of Foreign Currency published by Financial Benchmark India Private Ltd (FBIL) (https://www.fbil.org.in/)</p> <p>For the historical exchange rates, which are not made available by FBIL, the reference rate published by Reserve Bank of India (RBI) and available on https://www.rbi.org.in/scripts/ReferenceRateArchive.aspx may be used.</p> <p>In case a particular currency rate is not published by Reserve Bank of India, then the selling rate of such currency shall be taken from the following website: http://www.oanda.com</p>																																							
ITA 13.3(b) & (d)	<p>Applicants shall use the following rates for conversion between USD and INR:</p> <table><tr><th>Date</th><th>USD 1 = INR</th><th>1 INR = USD</th></tr><tr><td>31-Mar-11</td><td>44.6500</td><td>0.0224</td></tr><tr><td>31-Mar-12</td><td>51.1565</td><td>0.0195</td></tr><tr><td>31-Mar-13</td><td>54.3893</td><td>0.0184</td></tr><tr><td>31-Mar-14</td><td>60.0998</td><td>0.0166</td></tr><tr><td>31-Mar-15</td><td>62.5908</td><td>0.0160</td></tr><tr><td>31-Mar-16</td><td>66.3329</td><td>0.0151</td></tr><tr><td>31-Mar-17</td><td>64.8386</td><td>0.0154</td></tr><tr><td>31-Mar-18</td><td>65.0441</td><td>0.0154</td></tr><tr><td>31-Mar-19</td><td>69.1713</td><td>0.0145</td></tr><tr><td>31-Mar-20</td><td>75.6650</td><td>0.0132</td></tr><tr><td>31-Mar-21</td><td>73.5047</td><td>0.0136</td></tr><tr><td>31-Mar-22</td><td>75.8071</td><td>0.0132</td></tr></table>	Date	USD 1 = INR	1 INR = USD	31-Mar-11	44.6500	0.0224	31-Mar-12	51.1565	0.0195	31-Mar-13	54.3893	0.0184	31-Mar-14	60.0998	0.0166	31-Mar-15	62.5908	0.0160	31-Mar-16	66.3329	0.0151	31-Mar-17	64.8386	0.0154	31-Mar-18	65.0441	0.0154	31-Mar-19	69.1713	0.0145	31-Mar-20	75.6650	0.0132	31-Mar-21	73.5047	0.0136	31-Mar-22	75.8071	0.0132
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ITA 13.3 (c)	<p>Applicants shall use the following rates for conversion between USD and INR:</p> <table><tr><th>USD 1 = INR</th><th>1 INR = USD</th></tr><tr><td>77.19</td><td>0.0128</td></tr></table> <p>As on June 20, 2022</p>	USD 1 = INR	1 INR = USD	77.19	0.0128																																			
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77.19	0.0128																																							
ITA 14.1	<p>Additionally, one (1) copy in a pen drive shall also be submitted.</p> <p>The prequalification application document (offline version) 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>Submission of Application is required in Physical form along with Soft copy in pen-drive as mentioned in ITA 10.1(d) and ITA 14.1.</p> <p>The deadline for Application submission is:</p> <p>Date: July 21, 2022 Time: 15:00 hrs</p> <p>For application submission purposes only, the Bank's address is:</p> <p>Bank's address is the same as that indicated in ITA 2.1 <i>Attention: Mr. Ashok Kumar Vartia, Deputy General Manager</i></p>
ITA 18.1	<p>The opening of the Applications shall be at the Bank's address as that indicated in ITA 2.1</p> <p>Date: July 21, 2022 Time: 15:30 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.

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C	Financial Status and Capacity	30
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E	Quality Assurance	34
F.	Confirmation of eligibility under Public Procurement Orders	37

A. General

A.1 Nationality	
Requirement:	<ul style="list-style-type: none"> ➤ The Applicant's Nationality shall be in accordance with ITA 4.4 ➤ Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted	Form A.1.1 and A.1.2
Attachments to be submitted	<ul style="list-style-type: none"> ➤ Articles & Memorandum of Association, Certificate of Incorporation /Partnership Deed (in case of partnership firm) of the Applicant in accordance with ITA 4.4 ➤ In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.3 and documents as above for each member of the JV
A.2. Eligibility	
Requirement:	<ul style="list-style-type: none"> ➤ The Applicant shall not be under declaration as ineligible, as described in ITA 4.5, ITA 4.7 and ITA 4.8. ➤ Documentation and Attachments to be submitted as mentioned below
Documentation to be submitted:	Application Submission Form
Attachments	<ul style="list-style-type: none"> ➤ The Applicant shall submit a copy [self-attested on all pages] of Power of Attorney in favour of the person who has been authorized, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant. A copy [self-attested] of such relevant company Board Resolution or equivalent document should also be attached. ➤ In case the Applicant is a JV, the Applicant shall submit a copy [self-attested on all pages] of Powers of Attorney for each member of the JV along with copy [self-attested] of relevant Board Resolutions or equivalent documents. ➤ For an Applicant as a single entity or in case of JV, for each member: <ul style="list-style-type: none"> • Permanent Account Number [PAN]: Self attested copy • GST Registration details, as applicable: Self attested copy • Screening Committee Application/Approval of Project Exports Promotion Council of India - PEPC [MOCI].

B. Past Contract Performance and Litigation

B.1 Past Contract Non-performance	
Requirement:	<ul style="list-style-type: none"> ➤ There shall be no instance of contract³ non-performance as a result of Applicant's default since June 01, 2017 (In case of JV, each member shall meet the requirement). ➤ The Applicant shall inform Exim Bank of any such instances occurring post submission of the Prequalification Application. ➤ Documentation and Attachments to be submitted as mentioned below

³Contract 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.

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:	<p>➤ Applicant shall have a positive 'Adjusted Net Worth'* determined as per the financial statements for the latest financial year (FY 2020-21), adjusted for 'Pending Contractual Litigation Value' as considered below:</p> <ul style="list-style-type: none"> • 'Pending Contractual Litigation Value' shall be deemed to be 25% of the aggregate value of pending litigation across all contracts, net of provisions made in the latest audited financial statements (FY 2020-21 or FY 2021-22, if available), which shall be deducted from the net worth to arrive at the 'Adjusted Net Worth'. <p>* Adjusted Net Worth: <i>Net worth as per the latest financial statements less [25% of Pending Contractual Litigation Value less provisions made in the latest audited financial statements for pending contractual litigations] = Positive</i></p> <p>➤ Documentation and Attachments to be submitted as mentioned below.</p> <p>➤ In case of JV, each member shall meet the requirement.</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"> • The aggregate amount of awards against the Applicant, if any, since June 01, 2017 shall not exceed 25% of net worth as per the latest audited financial statements. (In case of JV, each member shall meet the requirement.) <p>➤ Documentation and Attachments to be submitted as mentioned below</p>
Documentation to be submitted:	Form B.3.1
Attachments to be submitted:	Documents establishing details included in Form B.3.1

C. Financial Status and Capacity

C.1 Financial Status	
Requirement:	<p>(i) The audited balance sheets, statements of profit & loss and annual reports for the last 5 financial years (FY 2016-17 to FY 2020-21 or FY 2017-18 to FY 2021-22, if available) 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 adjusted net worth for each of the last five (5) financial years defined above;</p> <p>b. Profit (i.e. Profit Before Tax) for at least two (2) out of last five (5) financial years defined above; and</p> <p>c. Annual EPC Revenue⁴ in any one (1) of the last five (5) financial years as defined above be not less than USD 12.00 million.</p> <p>In case of JV, requirement (a) and (b) above shall be met by each member and requirement under (c), each member shall meet at least 25%, lead member shall meet at least 40% and all members together shall meet 100%.</p> <p>(ii) The Applicant shall demonstrate that it has access to, or has available, liquid 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 Applicants other commitments. Minimum required liquid assets⁵ and/or credit facilities to be made available for execution of the contract shall not be less than USD 3.00 million.</p> <p>In case of JV, for requirement (ii) above, each member shall meet at least 25%, lead member shall meet at least 40% and all members together shall meet 100%.</p> <p>(iii) Documentation and Attachments to be submitted as mentioned below</p>
Documentation to be submitted:	<p>Forms C.1.1 and Form C.1.3 both certified by the Statutory Auditors of the Applicant (in case of JV, for each member of the JV)</p> <p>Form C.1.2 [in case of JV, for each member of the JV]</p>
Attachments to be submitted:	<p>The Applicant and its parties shall provide copies of audited financial statements for the last five (5) years as defined above. The financial statements shall:</p> <ol style="list-style-type: none"> reflect the financial situation of the Applicant or in case of JV for each member, and not an affiliated entity (such as parent company or group member). be independently audited and certified by the Statutory Auditors/Chartered Accountants in accordance with applicable legislation. be complete, including all notes to the financial statements. correspond to accounting periods already completed and audited. <p>Supporting documents issued by the Banks for additional financial means for likely future commitments to be attested by the respective banks. These documents shall be of latest available date and shall be valid beyond the last date of submission of the PQ Application.</p>

⁴ In case of Contracts in INR, the exchange rate of 31st March of the financial year in which the contract was signed will be used to arrive at the USD equivalent.

⁵ Exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall apply [Refer ITA 13.3(c)].

C.2 Value of ongoing contracts	
Requirement	<ul style="list-style-type: none"> ➤ Aggregate annual residual value⁶ of all ongoing contracts shall not be more than 350% of the highest annual turnover in last five (5) years as defined above. In case of JV, this shall apply to each member. ➤ Documentation and Attachments to be submitted as mentioned below.
Documentation to be submitted:	Form C.2.1 certified by Chartered Accountants
Attachments to be submitted:	None

D. Experience

D.1 General Experience	
Requirement:	<ul style="list-style-type: none"> ➤ Experience in Construction/ EPC contracts, in Water Supply Projects in the role of prime contractor or JV member⁷ to the main client, in India completed during the last seven (7) years, starting from June 01 2015, and up to application submission deadline. (In case of JV, each member shall meet the requirement). ➤ Documentation and Attachments to be submitted as mentioned below.
Documentation to be submitted:	Form D.1.1
Attachments to be submitted:	<ul style="list-style-type: none"> ➤ Final Acceptance Certificate/ Completion Certificate/ Testimonial Letters issued by the Project Authority for each contract listed in Form D.1.1 giving, inter alia, details of scope and value of work executed by the Applicant, contract start and completion dates. In case of projects executed through a Special Purpose Vehicle (SPV) under a concession agreement, FAC shall be issued by the Concession Granting Authority. ➤ In case the contracts listed in Form D.1.1 are executed by the Applicant through an SPV under a concession agreement, either singly or in joint venture, the following additional documents/information should be submitted: <ul style="list-style-type: none"> ❖ Copy of Letter of Acceptance of the bid issued by the Concession Granting Authority in favour of the Applicant or a JV comprising the Applicant; and ❖ Copy of Concession Agreement indicating the shareholding structure of the SPV establishing that the SPV is wholly held by the Applicant or by a JV comprising the Applicant; ➤ In case the contracts listed in Form D.1.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV and the JV Agreement to substantiate Individual JV member's

⁶ Exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall apply [Refer ITA 13.3(c)].

⁷ Experience shall be considered on basis of scope of work of the Applicant in that JV for the contract under reference.

	<p>delineated roles, responsibilities and scope and value of work.</p> <p>Subcontractors' experience and resumes, if any, submitted with the application shall not be taken into account in determining the Applicant's compliance.</p>																		
D.2 Specific Experience (Refer Part I: Scope of EPC for details)																			
Requirement:	<p>A. At least the number and size (in terms of the length of pipeline in kms), of similar EPC contracts in Water transmission Pipeline Projects as mentioned below, in the role of prime contractor or JV member⁸ to the main client/project employer, completed between June 01, 2015 to application submission deadline:</p> <table><tr><th>Options</th><th>No. of Contracts</th><th>Length of DI Pipeline of minimum diameter of 500 mm laid for Each Contract (in Kms)</th></tr><tr><td>I</td><td>3</td><td>11.00 km</td></tr><tr><td colspan="3">OR</td></tr><tr><td>II</td><td>2</td><td>14.00 km</td></tr><tr><td colspan="3">OR</td></tr><tr><td>III</td><td>1</td><td>22.00 km</td></tr></table> <p>B. <u>Additional Requirements:</u> From the above <u>contracts or from other completed contracts</u>, the applicant shall demonstrate experience as below:</p> <p>i. construction and commissioning of Water Treatment Plant (WTP) of minimum 10 MLD based on similar technology, completed between June 01, 2015 to application submission deadline;</p> <p>ii. The Applicant shall also demonstrate experience of having successfully completed at least one contract involving laying of distribution pipeline (HDPE/ VPVC pipe) of minimum diameter of 25 mm for at least 50 km, completed between June 2015 to application submission deadline.</p> <p>C. The Applicant shall submit the completion certificate as document of proof for completion of contract(s) of similar nature of work and mention the date and cost of completion of the contract.</p> <p>D. In case of JV, the requirement shall be met as below:</p> <p>i) The specific experience criteria mentioned at D.2 A above shall be met as below:</p> <p>a. Eligibility in terms of the number of contracts under each option can be aggregated across the JV members.</p> <p>b. The contracts considered for meeting the criterion shall each be of the minimum length (in Km) as mentioned under each option.</p>	Options	No. of Contracts	Length of DI Pipeline of minimum diameter of 500 mm laid for Each Contract (in Kms)	I	3	11.00 km	OR			II	2	14.00 km	OR			III	1	22.00 km
Options	No. of Contracts	Length of DI Pipeline of minimum diameter of 500 mm laid for Each Contract (in Kms)																	
I	3	11.00 km																	
OR																			
II	2	14.00 km																	
OR																			
III	1	22.00 km																	

⁸Experience shall be considered on basis of scope of work of the Applicant in that JV for the contract under reference.

	<p>a. In addition to the above, each member of JV shall demonstrate experience of at least one similar contract of 5.5 km (that is 50 % indicated under Option I of D.2.A), completed between June 01, 2015 to application submission deadline.</p> <p>ii) The specific experience criteria mentioned at D.2 B above shall be met as below:</p> <p>a. The past experience of JV member may be considered on combined basis for meeting the experience required, i.e. any of the JV member shall meet the specific experience criteria mentioned at D.2 B.</p> <p>E. In case, completed project cited by an Applicant was supervised as member of JV/ Consortium, credentials for same shall be considered based on role and responsibility of the Applicant under the contract.</p> <p>F. Subcontractors' experience and resumes, if any, submitted with the application will not be taken into account in determining the Applicant's compliance.</p> <p>Documentation and Attachments to be submitted as mentioned below.</p>
Documentation to be submitted:	Form D.2.1
Attachments to be submitted:	<p>➤ Final Acceptance/ Completion Certificate/ Testimonial Letters issued by the Project Authority for each contract listed in Form D.2.1 giving, inter alia, details of scope and value of work executed by the Applicant, contract start and completion dates. In case of projects executed through a Special Purpose Vehicle (SPV) under a concession agreement, FAC shall be issued by the Concession Granting Authority.</p> <p>➤ In case the contracts listed in Form D.2.1 are executed by the Applicant through an SPV under a concession agreement, either singly or in joint venture, the following additional documents/information should be submitted:</p> <ul style="list-style-type: none"> ❖ Copy of Letter of Acceptance of the bid issued by the Concession Granting Authority in favour of the Applicant or a JV comprising the Applicant; and ❖ Copy of Concession Agreement indicating the shareholding structure of the SPV establishing that the SPV is wholly held by the Applicant or by a JV comprising the Applicant <p>In case the contracts listed in Form D.2.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV and the JV Agreement to substantiate Individual JV member's delineated roles, responsibilities and scope and value of work.</p>

(e) Quality Assurance

E.1 Certified Management System	
Requirement:	ISO Accreditation / Certified Quality Management System

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 Equipment																																																							
Requirement:	<p>The Applicant must confirm that it can avail and deploy the following key tools & plants/ equipment for execution of the scope of work as defined in Part I:</p> <table><tr><th>S. No.</th><th>Description of Equipment</th><th>Nos.</th></tr><tr><td>1.</td><td>Hydraulic Excavator minimum of 10 t</td><td>1</td></tr><tr><td>2.</td><td>Hydraulic Excavator minimum of 05t to 10 t</td><td>4</td></tr><tr><td>3.</td><td>HYDRA 10 Ton Crane</td><td>4</td></tr><tr><td>4.</td><td>Mobile welding set 300AMP</td><td>4</td></tr><tr><td>5.</td><td>MIG welding machines 500A-1200A</td><td>5</td></tr><tr><td>6.</td><td>Dump Trucks/ Tippers 7t</td><td>6</td></tr><tr><td>7.</td><td>Dewatering pumps 10HP to 25HP</td><td>10</td></tr><tr><td>8.</td><td>Pressure/ Hydraulic Testing equipment</td><td>4</td></tr><tr><td>9.</td><td>Flatbed Trucks (07t to 10t)</td><td>2</td></tr><tr><td>10.</td><td>Generator 12 KVA</td><td>6</td></tr><tr><td>11.</td><td>Generator (12KVA to 50 KVA)</td><td>4</td></tr><tr><td>12.</td><td>Concrete Mixers (4cum to 8cum)</td><td>12</td></tr><tr><td>13.</td><td>concrete pumps</td><td>6</td></tr><tr><td>14.</td><td>Vibrating Poker 35mm to 65mm</td><td>20</td></tr><tr><td>15.</td><td>Horizontal Directional Drilling Rig upto 400mm dia</td><td>2</td></tr><tr><td>16.</td><td>Total Station with GIS EQUIPMENT</td><td>2</td></tr><tr><td>17.</td><td>DGPS</td><td>2</td></tr></table> <p><i>Note: The above list of equipment is an indicative list. The complete list of equipment would be made available at Tender stage</i></p> <p>➤ Documentation and Attachments to be submitted as mentioned below</p>	S. No.	Description of Equipment	Nos.	1.	Hydraulic Excavator minimum of 10 t	1	2.	Hydraulic Excavator minimum of 05t to 10 t	4	3.	HYDRA 10 Ton Crane	4	4.	Mobile welding set 300AMP	4	5.	MIG welding machines 500A-1200A	5	6.	Dump Trucks/ Tippers 7t	6	7.	Dewatering pumps 10HP to 25HP	10	8.	Pressure/ Hydraulic Testing equipment	4	9.	Flatbed Trucks (07t to 10t)	2	10.	Generator 12 KVA	6	11.	Generator (12KVA to 50 KVA)	4	12.	Concrete Mixers (4cum to 8cum)	12	13.	concrete pumps	6	14.	Vibrating Poker 35mm to 65mm	20	15.	Horizontal Directional Drilling Rig upto 400mm dia	2	16.	Total Station with GIS EQUIPMENT	2	17.	DGPS	2
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Documentation to be submitted:	Form E.2.1																																																						
Attachments to be submitted:	None																																																						
E.3 Skilled Human Resources																																																							
Requirement:	Applicant must demonstrate that it can deploy the personnel for the key positions that meet the following requirements:																																																						

S. No.	Position	Qualification	Years of Experience (General Experience)	Years of Specific Experience in Proposed Position	No s.
1.	Project Manager	<ul style="list-style-type: none"> ❖ University Degree in Civil Engineering ❖ Post-Graduation Degree in Project Management / Construction Management. ❖ PMP certification shall have additional advantage. 	20	15	1
2.	Deputy Project Manager	<ul style="list-style-type: none"> ❖ University Degree in Civil / Mechanical Engineering ❖ PMP certification 	15	10	1
3.	Site Civil Engineer	University Degree in Civil Engineering	12	8	1
4.	Site Mechanical Engineer	University Degree in Mechanical Engineering	12	8	1
5.	Site Electrical Engineer	University Degree in Electrical Engineering	12	8	1
6.	Site Instrumentation Engineer	University Degree in Electronics/Computer Engineering	15	10	1
7.	Earthworks Supervisors	Diploma in Civil Engineering or CTC III or its equivalent in a related field	10	7	4
8.	Concrete Works Supervisors	Diploma in Civil Engineering or CTC III or its equivalent in a related field	10	7	4
9.	Electro-mechanical Works Supervisor	Diploma in Electrical/Mechanical Engineering or CTC III or its equivalent in a related field	10	7	1
10.	Geodetic Engineer	University Degree in Geodetic /Geomantic Engineering or its equivalent in a related field	12	8	2

	11 .	Quantity Surveyor	University Degree in Quantity Surveying / Civil Engineering or its equivalent in a related field	12	8	1
	12 .	Water Supply Engineer	University Degree in Civil Engineering	20	15	1
	13 .	Structural Engineer	❖ University Degree in Civil Engineering ❖ Post-Graduation Degree in Structural Engineering	20	15	1
	14 .	Geotechnical Expert	❖ University Degree in Civil Engineering ❖ Post-Graduation Degree in Geotechnical Engineering	15	10	1
	15 .	Electro-Mechanical Expert	❖ University Degree in Electrical / Mechanical Engineering ❖ Post-Graduation Degree in Electrical / Mechanical Engineering	15	10	1
	16 .	AutoCAD Expert	Diploma in Civil Engineering	10	7	1
	17 .	Environmental and Social Specialist	BSc in Environmental Science/ Natural Resources Management/Environmental Engineering or its equivalent in a related field	15	10	1
	18 .	Health and Safety Officer	Diploma in Health and Safety	12	8	1
	19 .	First Aid Officer	Diploma in Allied Health/Nursing or its equivalent in a related field	10	7	1
<i>Note: The above list of manpower requirement is an indicative list. The complete list would be made available at Tender stage</i>						
Documentation to be submitted:	Form E. 3.1					
Attachments to be submitted:	None					
E.4 Manufacturer’s Authorization (Undertaking)						

Part IV. Prequalification Criteria and Requirements

Requirement:	<ul style="list-style-type: none">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 Manufacturer's Authorization(s) for all major equipment in favour of the Applicant to bid for the subsequent contract confirming warranty support, in the event of prequalification and submission of bid by the Applicant.Documentation to be submitted as mentioned below
Documentation to be submitted:	Form E.4.1

F. Confirmation of eligibility under Public Procurement Orders

F.1 Confirmation of eligibility under Public Procurement Orders	
Requirement:	Applicant to confirm their eligibility for the prequalification according to the provisions of Public Procurement Orders Nos. 1 & 2 dated July 23, 2020 and Public Procurement Order No. 3 dated July 24, 2020 issued by the Public Procurement Division of the Department of Expenditure, Ministry of Finance, Government of India.
Documentation to be submitted:	Form F.1.1

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	Evaluation on Pass/ Fail basis
F.	Eligibility under Public Procurement Orders	Evaluation on Pass/ Fail basis

Part V. Forms
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Applicant's JV Member's Information Form	:	44
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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 blacklisted/debarred/ sanctioned in accordance with ITA 4.5. Subsequent to the deadline for Application submission, in case we are blacklisted/debarred/sanctioned, we shall immediately inform Exim Bank of such blacklisting/debarment/sanction and reasons thereof, in accordance with ITA 4.5;
- © We confirm that we are currently not under default on any loan to any Bank/FI and our account has not been classified as Non-Performing Asset (NPA) with any Bank/FI. We further confirm that none of our companies/promoters/directors appear in RBI Caution List, RBI Willful Defaulter List (Suit filed as well as non-suit filed), Credit Information Bureau India Ltd. (CIBIL) Defaulter List, and any other negative list of central and state government agencies, updated from time-to-time. On being included in any of the above lists, we shall immediately inform Exim Bank on the inclusion and reason for inclusion thereof, in accordance with ITA 4.7;
- (d) We understand that you may cancel the prequalification process at any time and that you are neither bound to accept any Application that you may receive nor to invite the prequalified Applicants to bid for subsequent contract(s) subject to this prequalification process, without incurring any liability to the Applicants, in accordance with ITA 23.1.
- (e) We hereby confirm that we have not appointed any agent and we have not paid any agency commission for this Prequalification process. If prequalified, we also confirm that we will not appoint any agent and nor will we pay any agency commission for the corresponding tendering process or execution of the contract.
- (f) We further declare that **we are not**⁹ facing any investigation by any Government procuring entity/ corporation or Multilateral Development Agencies (MDA). (If yes, please provide details in a separate sheet, as necessary.)
- (g) All information, statements and description contained in the Application are in all respect true, correct and complete to the best of our knowledge and belief. We understand that misrepresentation of facts in our Application and contravention to ITA 3, inter alia, may lead to rejection of our Application/ cancellation of prequalification.

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

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

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

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

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

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

Encl: Checklist of forms and documents

⁹ Please change “we are not” to “we are” in case the applicant / members are facing investigation.

Checklist for Various Forms and Documents to be Submitted

Form No.	Details of Forms and Documents	Page no.
	NEFT acknowledgement receipt towards payment of Processing Fee	
A.1.1	Applicant Information Form	
	1. Articles & Memorandum of Association	
	2. Certificate of Incorporation (or equivalent documents of constitution or association), and/or documents of registration	
	3. PAN and GST Registration Details	
	4. Letter of intent to form JV or JV agreement, in case of JV	
	5. Organizational chart	
	6. List of Board of Directors with their complete designation in case of nominee directors	
	7. The beneficial ownership with respective shareholding and nationality of shareholders	
	8. A copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorised, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant	
	9. A copy of relevant Company Board Resolution referred to in item No. 8 above	
A.1.2 *	Applicant's JV Member's Information Form [in case Applicant is a JV]	
*	1. Articles & Memorandum of Association of the JV Member	
*	2. Certificate of Incorporation (or equivalent documents of constitution or association), and/or documents of registration, of the JV Member	
*	3. PAN and GST Registration Details of the JV Member	
*	4. Organizational chart of the JV Member	
*	5. List of Board of Directors with their complete designation in case of nominee directors of the JV Member	
*	6. The beneficial ownership with respective shareholding and nationality of shareholders of the JV Member	
*	7. A copy (self-attested on all pages) of Power of Attorney in favour of the person who has been authorised, through an appropriate Company Board Resolution or equivalent document, to sign on behalf of the Applicant	
*	8. A copy of relevant Company Board Resolution referred to item No. 7 above.	
B.1.1 *	Non-Performed Contracts	
*	1. Documents establishing details included in Form B.1.1	
B.1.2 *	Pending Litigation	
*	1. Documents establishing details included in Form B.2.1	
B.1.3 *	Litigation History	
*	1. Documents establishing details included in Form B.3.1	
C.1.1 *	Financial Status & Capacity, certified by the Statutory Auditors of the Applicant	
C.1.2 *	Sources of Finance	
*	1. Audited Annual Reports for the last 5 years	
*	2. Statement of Consolidated Credit Facilities (sanctioned and available) from Lead Banker or respective Bank statements duly attested by the respective banks.	
C.1.3 *	Annual EPC Turnover, certified by the Statutory Auditors of the Applicant	
C.2.1 *	Ongoing Contracts (Certified by Chartered Accountants)	
D.1.1 *	General Experience	
*	1. Final Acceptance Certificate/ Completion Certificate/ Testimonial Letters issued	

	by the employer for each contract listed in Form D.1.1	
*	2. In case the contracts listed in Form D.1.1 are executed by the Applicant through an SPV under a concession agreement, either singly or in joint venture, the following additional documents/information should be submitted: a. Copy of Letter of Acceptance of the bid issued by the Concession Granting Authority in favour of the Applicant or a JV comprising the Applicant; b. Copy of Concession Agreement indicating the shareholding structure of the SPV establishing that the SPV is wholly held by the Applicant or by a JV comprising the Applicant provided the Letter of Acceptance of bid by the Concession Authority is issued in favour of the JV comprising the Applicant.	
*	3. In case the contracts listed in Form D.1.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV and the JV Agreement to substantiate Individual JV member's delineated roles and responsibilities and scope and value of work.	
D.2.1 *	Specific Experience	
*	1. Final Acceptance Certificate/ Completion Certificate/ Testimonial Letters issued by the employer for each contract listed in Form D.2.1	
*	2. In case the contracts listed in Form D.2.1 are executed by the Applicant through an SPV under a concession agreement, either singly or in joint venture, the following additional documents/information should be submitted: a. Copy of Letter of Acceptance of the bid issued by the Concession Granting Authority in favour of the Applicant or a JV comprising the Applicant; b. Copy of Concession Agreement indicating the shareholding structure of the SPV establishing that the SPV is wholly held by the Applicant or by a JV comprising the Applicant provided the Letter of Acceptance of bid by the Concession Authority is issued in favour of the JV comprising the Applicant.	
*	3. In case the contracts listed in Form D.2.1 are executed by the Applicant as a member of JV, a copy of Agreement between Project Authority and JV and the JV Agreement to substantiate Individual JV member's delineated roles and responsibilities and scope and value of work.	
E.1.1	Certified Management System	
	Self-attested copy of ISO Accreditation / Quality Management System Certificate	
E.2.1	Contractor's Equipment Details Undertaking stating that the equipment listed under E.2. Contractor's Equipment can be arranged and deployed at site	
E.3.1	Skilled Human Resources (Undertaking to deploy list of dedicated Human resources)	
E.4.1	Manufacturer's Authorisation (Undertaking)	
F.1.1	Confirmation of eligibility under Public Procurement Orders	
Part VI. *	Questionnaire for Applicants	

(f) Note: i. Please insert page number. Documents marked '*' to be submitted for each JV member separately.

Form A.1.1**Applicant Information Form**

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

Date: *[insert day, month, year]*IFP No. and title: *[insert IFP number and title]*Page *[insert page number]* of *[insert total number]* pages

Applicant's name <i>[insert full name]</i>
In case of Joint Venture (JV), name of each member: <i>[insert full name of each member in JV]</i>
Applicant's country* of registration: <i>[indicate country of Constitution]</i>
Applicant's actual year of incorporation: <i>[indicate year of Constitution]</i>
Applicant's legal address [registered in India]: <i>[insert street/ number/ town or city/ country]</i>
<p>(g) . Attached are copies of original documents of</p> <p><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.</p> <p><input type="checkbox"/> In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.3.</p> <p>2. Included are the PAN & GST Registration details, organizational chart, a list of Board of Directors with their complete designation in case of nominee directors, and the beneficial ownership with respective shareholding and nationality of shareholders.</p>

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

Form A.1.2

Applicant's JV Member's Information Form

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

.3Date: *[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>
<ol style="list-style-type: none"> 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 PAN & GST Registration details, 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 entities

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

Past Contract Non-Performance, Pending Litigation and Litigation History

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

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

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

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

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

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

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

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 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>
	<i>Total:</i>		

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

Form B.3.1			
Litigation History, in accordance with Part IV, Prequalification Criteria and Requirements			
<input type="checkbox"/> No litigation since the date specified in Part IV, Prequalification Criteria and Requirements, Sub-Factor B.3. <input type="checkbox"/> Litigation Awards in accordance with Part IV, Prequalification Criteria and Requirements, Sub-Factor B.3 as indicated below.			
Year of award	Outcome as percentage of Net Worth	Contract Identification	Total Contract Amount (currency), USD Equivalent (exchange rate)
<i>[insert financial year]</i>	<i>[insert percentage]</i>	Contract Identification: [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 "Contractor"]</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>
	<i>Total:</i>		

Form C.1.1

Financial Status and Capacity

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

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

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

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

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

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

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

1. Financial data

Type of Financial information in	Historic information for previous five (5) years, (amount in Indian Rupees)				
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21
Sources of Fund					
Share Hol'er's Fund					
Loan Fund					
Application of Fund					
Fixed Assets					
Investments					
Net CurrentAssets					
(i) Current assets, loans and advances					
L ess: (ii) Current liabilities & provisions					
Misc. exp. to the extent not W/Off or adjusted					
Profit and Loss Account					
Net Worth					
Net Worth					
Information from Income Statement					
Income					
Expenditure					
Profit/(Loss) Before Tax (PBT)					
Profit/(Loss) After Tax (PAT)					
Information From Cash flow Statement					
Cash Flow from Operating Activities					
Cash Flow from Investments					
Cash Flow from Financing Activities					

Registration No/ Membership No:
(of the Statutory Auditors of the Applicant/each JV member)

Stamp

Date:

Place:

UDIN:

Form C.1.2

Sources of Finance

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

Applicant's Name: [insert full name]

Date: [insert day, month, year]

Joint Venture Member Name: [insert full name]

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

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

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

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

A. Details of Credit Facilities available to the Applicant (Amount in Indian Rupees)

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

B. Details of Liquid Assets such as cash and bank balance, marketable securities and any other financial means which may be used meet the cash flow requirements for works currently in progress by the Applicant

Sr No	Type of Liquid Assets	Amount (in Indian Rupees)
1.		
2.		

(h) 3. Financial documents

The Applicant and its parties shall provide copies of audited financial statements for last five years as defined in Part IV, Prequalification Criteria and Requirements, Sub-factor C.1. The financial statements shall:

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

☐ Attached are copies of financial statements for the **five** years required above; and complying with the requirements.

- ☐ Please note that printed Audited Annual Reports are to be certified by the Statutory Auditors duly signed and stamped.
- ☐ Please submit Statement of Consolidated Credit Facilities (sancti50tilizedilised and available) from Lead Banker or respective Bank statements.

Form C.1.3

Annual EPC Turnover

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

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

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

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

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

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

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

Year	Annual Turnover Data						
	EPC Turnover Amount (INR)			Total Turnover (INR)	EPC Turnover as % of Total Turnover	Exchange rate* (v/s USD)	EPC Turnover in USD equivalent
	Contracts in India	Overseas Contracts	Total EPC Turnover				
	[A]	[B]	C = [A+B]	[D]	C/D*100	[E]	C/E
2016-2017							
2017-2018							
2018-2019							
2019-2020							
2020-2021							
2021-2022							

* Refer ITA 13.3 for source of exchange rate. Exchange rate prevalent on 31st March shall be used to calculate turnover for respective financial year.

Registration No/ Membership No:
(of the Statutory Auditors of the Applicant/each JV member)

Stamp

Date:

Place:

UDIN:

Form C.2.1

Ongoing Contracts

[The following table shall be filled in for the Applicant and for each member of a Joint Venture and shall be certified by the Chartered Accountants. 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]*

Contract Identification	Role of Applicant	Start Date	Contractual Completion Date	Intended/ Revised Completion Date	Residual period for completion	Residual value of Work	Annual Residual value of Work
1	2	3	4	5	6	7	8
Contract Ref: Brief Title of the works: Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name & Address of Employer:	<i>[insert "Prime Contractor" or "JV Member"]</i>				<i>[Insert period in years starting from Application Submission Deadline. In case less than a year, value to be considered shall be 1]</i>	<i>[Insert value in US\$ equivalent including amount billed but pending payment up to deadline for submission of Application]</i>	<i>[Insert value in US\$ equivalent] [7 divide by 6]</i>
							<i>[Insert Total for all Contracts in USD]</i>

* Exchange rate prevalent as on the working day preceding the date of Invitation for Prequalification (IFP) shall apply to ascertain residual value in equivalent USD. Refer ITA 13.3 for source of exchange rate

Registration No/ Membership No:

Stamp

(of the Chartered Accountants of the Applicant/each JV member)

Date:

Place:

UDIN:

Form D.1.1

General Experience

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

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

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

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

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

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

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

[Identify contracts that demonstrate similar experience in India pursuant to Part IV, Prequalification Criteria and Requirements, Sub-Factor D.1. List contracts chronologically, according to their commencement (starting) dates and attach Final Acceptance Certificates.]

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

* Refer ITA 13.3 for date and source of exchange rate

Final Acceptance Certificate/Completion Certificate / Testimonial Letters issued by the employer / Concession Granting Authority in case of SPV to be attached for each contract in an orderly fashion.

Form D.2.1

Specific EPC Experience

[The following table shall be filled in for contracts completed by the Applicant, and each member of a Joint Venture, as applicable, pursuant to Part IV, Prequalification Criteria and Requirements, Sub-Factor D.2.]

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

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

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

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

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

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

Information

Similar Contract No.	<i>[insert number] of [insert number of similar contracts required]</i>		
Contract Identification	<i>[insert contract name and number, if applicable]</i>		
Contract date	<i>[dd/mmm/yyyy]</i>		
Completion date	<i>Contractual:</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][Briefly mention the similarity in terms of sectoral characteristics and technical aspects listed in Sub-Factor D.2]</i>		
For the above contract, mention the following attributes			
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>		

Note: Rate implies the quantity executed in unit time e.g. cubic meters of earthwork per annum, etc.

* Refer ITA 13.3 for date and source of exchange rate.

* Final Acceptance Certificate /Completion Certificate / Testimonial Letters issued by the employer / Concession Granting Authority in case of SPV 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]*

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
<i>[indicate the quality management system accreditation]</i>	<i>[indicate certificate identification number and mention which process or discipline has been certified and inclusions]</i>	<i>[dd/mm/yyyy]</i>	<i>[dd/mm/yyyy]</i>	<i>[indicate the name of the certifying organization and contact details]</i>

Self-attested copy of ISO Certificate(s) valid as on the date to be attached

Form E.2.1

Contractor's Equipment Details

[In case of JVCA, this form shall be submitted on a combined basis]

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

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

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

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

We, *[insert Applicant's full name and in case of JVCA, insert names of all members]* hereby undertake, in the event that we are prequalified and invited to submit a bid, to arrange and deploy following equipment, listed in E.2, at site :

Equipment Type	Make/ Model	Capacity	Number
<i>[mention the generic name/ type of equipment]</i>	<i>[indicate make/ model of equipment]</i>	<i>[indicate capacity of equipment]</i>	<i>[indicate number available]</i>

[To be attested by the authorized representative of the Applicant and in case of a JVCA, by the lead member on behalf of the JV members]

Form E.3.1

Skilled Human Resources

[Furnish details for key staff pursuant to Part IV, Prequalification Criteria and Requirements, Sub-Factor E.3. In case of JVCA, this shall be on a combined basis]

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

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

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

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

We, *[insert Applicant's full name and in case of JVCA, insert names of all members]* hereby undertake, in the event that we are prequalified and invited to submit a bid, to arrange and deploy key staff meeting the experience and qualification requirements, listed in E.3 :

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

[To be attested by the authorized representative of the Applicant and in case of a JVCA, by the lead member on behalf of the JV members]

Form E.4.1

Manufacturer's Authorisation (Undertaking)

[The following form shall be filled in for the Applicant and in the case of a JV Applicant, on combined basis by the lead partner]

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]*

We, *[insert Applicant's full name and in case of JVCA, insert names of all members]* 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; and
- (c) confirming that the equipment being bid for to be supplied shall be new and unused.

[To be attested by the authorized representative of the Applicant and in case of a JVCA, by the lead member on behalf of the JV members]

Form F.1.1

Confirmation of eligibility under Public Procurement Orders

[The following certificate to be given by the Applicant, pursuant to Part IV, Prequalification Criteria and Requirements, Sub-Factor F.]

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

This is to confirm that the Applicant has read the Public Procurement Orders Nos. 1 & 2 dated July 07, 2020 and Public Procurement Order No. 3 dated July 24, 2020 issued by the Public Procurement Division of the Department of Expenditure, Ministry of Finance, Government of India regarding restrictions on procurement from a bidder of a country which shares a land border with India, and it is further confirmed that the Applicant fulfills all requirements in this regard and is eligible to be considered for the prequalification process.

(Signature)

[Name of Authorized Signatory]

[Title of Authorized Signatory]

Date:

Part VI. Questionnaire for Applicants

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

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

<u>Eligibility, Confirmation and Other Important Information</u>	<u>Response*</u>
1. Is your firm, either singly or in joint venture currently empanelled or prequalified as an EPC contractor. If yes, please provide details of Client, Country and Scope of EPC. 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 blacklisted or 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. Is your firm's account currently classified as Non-Performing Asset (NPA) with any Bank/FI or your companies/ promoters/ directors appear in Reserve Bank of India (RBI) Caution List, RBI Wilful Defaulter List (Suit filed as well as non-suit filed), Credit Information Bureau India Ltd. (CIBIL) Defaulter List or any other negative list of central and state government agencies, updated from time to time? If yes, please provide details in a separate sheet, as necessary.	Yes_____/No_____ _____
6. Has your firm/organization ever filed or petitioned for bankruptcy? (If Yes, furnish details of the case including filing date and current status.). Attach additional sheets, if needed.	Yes___/No___
7. Has your firm/ any JV partner been penalized for delay in contractual performance in the last 5 years prior to Application submission deadline. If yes, please provide details in a separate sheet, as necessary.	Yes___/No___
8. Has there been a termination of your contract for non-performance in the last 5 years prior to the month preceding the month of Application Submission Deadline? If Yes, please describe in detail in a separate sheet, as necessary.	Yes___/No___
9. If prequalified and subsequently awarded a contract by the Borrower Government, would your firm/ JV be willing (i) to work in accordance with the Borrower country laws and regulations (ii) to submit requisite securities as per contract conditions (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___
10. Please confirm that you agree to the provisions of the Government of India guidelines dated 7th December 2015 on IDEAS Lines of Credit and Public Procurement Orders Nos. 1 & 2 dated July 23, 2020 and Public Procurement Order No. 3 dated July 24, 2020 issued by the Public Procurement Division of the Department of Expenditure, Ministry of Finance, Government of India.	Confirm: Yes___/ No___

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

(Signature)

[Name of Authorized Signatory]

[Title of Authorized Signatory]

Date: