**STANDARD PROCUREMENT DOCUMENT**

**Prequalification Document**

**Management Services**

**(For use with a Request for Bids process)**



**OCTOBER, 2017**

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**Revisions**

**October 2017**

This revision dated October 2017 incorporates new provisions on beneficial ownership.

**January 2017**

In this revision dated January 2017, a few editorial enhancements have been made.

**July 2016**

This revision dated July 2016 incorporates a number of changes reflecting the *Procurement Regulations for IPF Borrowers,* July 2016.

**Foreword**

This Standard Procurement Document (SPD) has been prepared by the World Bank, based on the Master Procurement Document “Prequalification Document for Procurement of Works”, which represents the best practices of these institutions.

The Prequalification Document (PD) shall be used by the Borrower with minimum changes as may be necessary, and acceptable to the Bank, when a prequalification process takes place prior to the bidding process for procurement of Management Services through Request for Bids (RFB) in projects that are financed, in whole or in part, by the World Bank.

**Preface**

This Standard Procurement Document (SPD) has been updated to reflect the World Bank’s *Procurement Regulations for IPF Borrowers, July, 2016* as amended from time to time. This SPD is applicable to the procurement of Management Services funded by IBRD or IDA-financed projects whose Legal Agreement makes reference to the *Procurement Regulations for IPF Borrowers*.

To obtain further information on procurement under World Bank-financed projects or for question regarding the use of this SPD, contact:

Chief Procurement Officer

Standards, Procurement and Financial Management Department

The World Bank

1818 H Street, N.W.

Washington, D.C. 20433 U.S.A.

http://www.worldbank.org

Standard Procurement Document

**Summary**

Specific Procurement Notice: Invitation for Prequalification

The template attached is the Invitation for Prequalification. This is the template to be used by the Borrower.

**Prequalification Document: Procurement of Management Services**

**PART 1 – PREQUALIFICATION PROCEDURES**

**Section I - Instructions to Applicants (ITA)**

This Section specifies the procedures to be followed by Applicants in the preparation and submission of their Applications for Prequalification (“Application”). Information is also provided on opening and evaluation of Applications. **Section I contains provisions that are to be used without modification**.

**Section II - Prequalification Data Sheet (PDS)**

This Section consists of provisions that are specific to each prequalification, and supplements the information or requirements included in Section I, Instructions to Applicants.

**Section III - Qualification Criteria and Requirements**

This Section contains the methods, criteria, and requirements to be used to determine how Applicants shall be prequalified and later invited to bid.

**Section IV - Application Forms**

This Section contains the Application Submission Letter and other forms required to be submitted with the Application.

**Section V - Eligible Countries**

This Section contains information regarding eligible countries.

**Section VI Fraud and Corruption**

This Section provides the Applicants with the reference to the Bank’s policy in regard to Fraud and Corruption applicable to the prequalification process.

**PART 2 - SERVICE REQUIREMENTS**

**Section VII - Scope of Services**

This Section includes a summary description of the terms of reference of the services that are the subject of this prequalification, as well as a summary description, technical specifications and drawings of the system for which the management services are being sought.

**Specific Procurement Notice**

**Template**

**Invitation for Prequalification**

**Management Services**

**Country: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Name of Project: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Contract Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Sector: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Loan No./Credit No./Grant No.:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Prequalification Reference No.:*[as per the Procurement Plan]*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

1. The *[insert name of Borrower]* *[has received/has applied for/intends to apply for]* financing from the World Bank toward the cost of the *[insert name of project]*, and it intends to apply part of the proceeds of this *[loan/credit]* to payments under the contract for *[insert name of contract]*.[[1]](#endnote-1)
2. The *[insert name of implementing agency]* intends to prequalify contractors for *[insert description of Management Services to be procured]*.[[2]](#endnote-2) It is expected that invitations to bid will be made in *[insert month and year]*.[[3]](#endnote-3)
3. Prequalification will be conducted through prequalification procedures specified in the World Bank’s [Procurement](http://www.worldbank.org/html/opr/procure/guidelin.html) Regulations for IPF Borrowers *[insert date of applicable Procurement Regulations edition as per legal agreement]* (“Procurement Regulations”), and is open to all Bidders from eligible countries.
4. Interested eligible Applicants may obtain further information from and inspect the Prequalification Document at the *[insert name of agency]* (address below) *[state address at end of document]* from *[insert office hours]*.[[4]](#endnote-4) A complete set of the Prequalification Document in *[insert name of language]* may be purchased by interested Applicants on the submission of a written application to the address below and upon payment of a nonrefundable fee[[5]](#endnote-5) of *[insert amount in local currency]* or in *[insert amount in specified convertible currency]*. The method of payment will be *[insert method of payment]*.[[6]](#endnote-6) The document will be sent by *[insert delivery procedure]*.[[7]](#endnote-7)
5. Applications for prequalification should be submitted in sealed envelopes, delivered to the address below by *[insert date]*,[[8]](#endnote-8) and be clearly marked “Application to Prequalify for *[insert name of project and the contract name]*.” Late applications may be rejected.

*[Insert name of office]*

*[Insert name of officer and title]*

*[Insert postal address and/or street address, postal code, city and country]*

*[Insert telephone number, country and city codes]*

*[Insert facsimile number, country and city codes]*

*[Insert email address]*

*[Insert web site address]*

Prequalification Document

**Management Services**

**Procurement of:**

*[insert identification of the Management Services]*

**Invitation for Prequalification No:** *[insert reference from Procurement Plan]*

**Project:***[insert name of project]*

**Employer:** *[insert the name of the Employer’s agency]*

**Country:** *[insert country where Prequalification Document is issued]*

**Issued on:** *[insert date when Prequalification Document was issued to Applicants]*

**(This Prequalification Document is for use with a Request for Bids process)**

Standard Procurement Document

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PART 1 – Prequalification Procedures

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| **Section I - Instructions to Applicants** |

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| 1. General | | | |
| Scope of Application | In connection with the Invitation for Prequalification indicated in Section II, Prequalification Data Sheet (PDS), the Employer, as defined **in the** **PDS,** issues this Prequalification Document (PD) to Applicants interested to bid for the Services described in Section VII, Scope of Services. The Request for Bids (RFB) number corresponding to this prequalification is provided in the **PDS.** | | |
| Source of Funds | The Borrower or Recipient (hereinafter called “Borrower”) indicated **in the** **PDS** has applied for or received financing (hereinafter called “funds”) from the International Bank for Reconstruction and Development or the International Development Association (hereinafter called “the Bank”) in an amount specified **in the PDS,** towards the cost of the project named **in the** **PDS.** The Borrower intends to apply a portion of the funds to eligible payments under the contract resulting from the Bidding for which this prequalification is conducted.Payment by the Bank 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 Loan (or other financing) Agreement. The Loan (or other financing) Agreement prohibits a withdrawal from the loan (or credit) account for the purpose of any payment to persons or entities, or for any import of goods, equipment, plant or materials, or services if such payment or import, to the knowledge of the Bank, is prohibited by a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations. No party other than the Borrower shall derive any rights from the Loan (or other financing) Agreement or have any claim to the proceeds of the loan (or credit). | | |
| Fraud and Corruption | The Bank requires compliance with the Bank’s Anti-Corruption Guidelines and its prevailing sanctions policies and procedures as set forth in the WBG’s Sanctions Framework, as set forth in Section VI, Fraud and Corruption.In further pursuance of this policy, Applicants shall permit and shall cause their agents (where declared or not), subcontractors, subconsultants, service providers, suppliers, and their personnel, to permit the Bank to inspect all accounts, records and other documents relating to any initial selection process, prequalification process, bid submission (in case prequalified), proposal submission, and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.. | | |
| Eligible Applicants | Applicants shall meet the eligibility criteria as per this Instruction and ITA 5.1An Applicant shall be a firm that is a private, state owned enterprise or institution, subject to ITA 4.8, or any combination of such entities in the form of Joint Venture (JV) with the formal intent, as evidenced by a letter of intent), to enter into an agreement or under an existing agreement. In the case of a JV, unless otherwise specified **in the** **PDS,** (i) all parties shall be jointly and severally liable for the execution of the entire Contract, and (ii) there shall be no limit on the number of partners, and (iii) the JV shall nominate a Representative 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 and Bidding process and, in the event the JV is awarded the Contract, during contract executionAn Applicant may have the nationality of any country, subject to the restrictions pursuant to ITA 5.1. An Applicant shall be deemed to have the nationality of a country if the Applicant is a citizen, or is constituted, incorporated or registered and operates in conformity with the provisions of the laws of that country, as evidenced by its Articles of Incorporation or Documents of Constitution, and its Registration Documents, as the case may be. This criterion also shall apply to the determination of the nationality of proposed Specialized Subcontractors or suppliers for any part of the Contract including related Services.Applicants shall not have a conflict of interest. Applicants shall be considered to have a conflict of interest, if they or any of their affiliates participated as a consultant in the preparation of the subject Management Services requirements. In addition, Applicants may be considered to have a conflict of interest if they have a close business or family relationship with a professional staff of the Borrower (or of the project implementing agency, or of a recipient of a part of the loan) who: (i) are directly or indirectly involved in the preparation of the Prequalification Document or bidding document or specifications of the Contract, and/or the Bid evaluation process of such Contract; or (ii) would be involved in the implementation or supervision of such Contract, unless the conflict stemming from such relationship has been resolved in a manner acceptable to the Bank throughout the bidding process and execution of the Contract.A firm may apply for prequalification both individually, and as part of a joint venture, or participate as a subcontractor. If prequalified, it will not be permitted to bid for the same contract both as an individual firm and as a part of the joint venture or as a subcontractor. However, a firm may participate as a subcontractor in more than one bid, but only in that capacity. Bids submitted in violation of this procedure will be rejected. | | |
|  | A firm and any of its affiliates (that directly or indirectly control, are controlled by or are under common control with that firm) may submit its application for prequalification either individually, as joint venture or as a sub-contractor among them for the same contract. However, if prequalified only one prequalified applicant will be allowed to bid for the same contract. All Bids submitted in violation of this procedure will be rejected. | | |
|  | An Applicant that has been sanctioned by the Bank, pursuant to the Bank’s Anti-Corruption Guidelines, and in accordance with its prevailing sanctions policies and procedures as set forth in the WBG’s Sanctions Framework, as described in Section VI, paragraph 2.2 d. shall be ineligible to be prequalified for, initially selected for, bid for, propose for, or be awarded a Bank-financed contract or benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank shall have determined. The list of debarred firms and individuals is available at the electronic address specified in the PDS. | | |
|  | Applicants that are state-owned enterprises or institutions in the Employer’s Country may be eligible to compete and be awarded a Contract(s) only if they can establish, in a manner acceptable to the Bank, that they (i) are legally and financially autonomous (ii) operate under commercial law, and (iii) are not under supervision of the Employer. . | | |
|  | Firms and individuals may be ineligible if so indicated in Section V, Eligible Countries, and (a) as a matter of law or official regulations the Borrower’s country prohibits commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the contracting of Services required; or (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower’s country prohibits any import of goods from that country, contracting of Services from that country, or any payments to persons or entities in that country. | | |
|  | An Applicant shall not be under suspension from Bidding by the Employer as the result of the execution of a Bid/Proposal Securing Declaration | | |
|  | Applicants shall provide such documentary evidence of their continued eligibility satisfactory to the Employer, as the Employer shall reasonably request. | | |
|  | A firm that is under a sanction of debarment by the Borrower from being awarded a contract is eligible to participate in this procurement, unless the Bank, at the Borrower’s request, is satisfied that the debarment; (a) relates to fraud or corruption, and (b) followed a judicial or administrative proceeding that afforded the firm adequate due process. | | |
| Eligible Goods and Related Services | All goods and related services to be supplied under the Contract to be financed by the Bank shall have as their origin in any country in accordance with Section V, Eligible Countries. | | |
| 1. Contents of the Prequalification Document | | | |
| Sections of Prequalification Document | | The document for the prequalification of Applicants (hereinafter “Prequalification Document”) consists of Parts 1 and 2 which comprise all the sections indicated below, and should be | |
|  | | **PART 1 - Prequalification Procedures**   * Section I - Instructions to Applicants (ITA) * Section II - Prequalification Data Sheet (PDS) * Section III - Qualification Criteria and Requirements * Section IV - Application Forms * Section V - Eligible Countries * Section VI - Fraud and Corruption   **PART 2 – Service Requirements**   * Section VII - Service Requirements | |
|  | | The “Invitation for Prequalification Applications” issued by the Employer is not part of the Prequalification Document. | |
|  | | Unless obtained directly from the Employer, the Employer accepts no responsibility for the completeness of the document, responses to requests for clarification, the minutes of the pre-Application meeting (if any), or Addenda to the Prequalification Document in accordance with ITA 8. In case of any discrepancies, documents issued directly by the Employer shall prevail. | |
|  | | The Applicant is expected to examine all instructions, forms, and terms in the Prequalification Document and to furnish all information or documentation required by the Prequalification Document. | |
| Clarification of PQ Document | | 7.1 An Applicant requiring any clarification of the Prequalification Document shall contact the Employer in writing at the Employer’s address indicated **in the PDS**. The Employer will respond in writing to any request for clarification provided that such request is received no later than fourteen (14) days prior to the deadline for submission of applications. The Employer shall forward copies of its response to all applicants who have acquired the prequalification document directly from the Employer including a description of the inquiry but without identifying its source. If so indicated **in the** **PDS**, the Employer shall also promptly publish its response at the web page identified **in the PDS**. Should the Employer deem it necessary to amend the prequalification document as a result of a clarification, it shall do so following the procedure under ITA 8 and in accordance with the provisions of ITA 17.2.7.2 If indicated **in the PDS**, the Applicant’s designated representative is invited at the Applicant’s cost to attend a pre-Application meeting at the place, date and time mentioned in the **PDS**. During this pre-Application meeting, prospective Applicants may request clarification of the project requirement, the criteria for qualifications or any other aspects of the Prequalification Document. 7.3 Minutes of the pre-Application meeting, if applicable, including the text of the questions asked by Applicants, including those during the meeting (without identifying the source) and the responses given, together with any responses prepared after the meeting will be transmitted promptly to all prospective Applicants who have obtained the Prequalification Document. Any modification to the | |
|  | | Prequalification Document that may become necessary as a result of the pre-Application meeting shall be made by the Employer exclusively through the use of an Addendum pursuant to ITA 8. Non-attendance at the pre-Application meeting will not be a cause for disqualification of an Applicant. | |
| Amendment of PQ Document | | At any time prior to the deadline for submission of applications, the Employer may amend the Prequalification Document by issuing addenda.Any addendum issued shall be part of the Prequalification Document and shall be communicated in writing to all Applicants who have obtained the prequalification document from the Employer. The Employer shall promptly publish the addendum at the Employer’s web page identified **in the PDS.**To give prospective Applicants reasonable time to take an addendum into account in preparing their applications, the Employer may, at its discretion, extend the deadline for the submission of applications. | |
| 1. Preparation of Applications | | | |
| Cost of Applications | | | The Applicant shall bear all costs associated with the preparation and submission of its Application. The Employer will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the prequalification process. |
| Language of ApplicationDocuments Comprising the Application | | | 10.1 The application as well as all correspondence and documents relating to the prequalification exchanged by the Applicant and the Employer, shall be written in the language specified in the **PDS.** Supporting documents and printed literature that are part of the application may be in another language, provided they are accompanied by an accurate translation of the relevant passages in the language specified **in the PDS**, in which case, for purposes of interpretation of the application, the translation shall govern.The application shall comprise the following:**Application Submission Letter,** in accordance with ITA 12;**Eligibility:** documentary evidence establishing the Applicant’s eligibility to prequalify, in accordance with ITA 13; |
|  | | | **Qualifications:** documentary evidence establishing the Applicant’s qualifications, in accordance with ITA 14; andany other document required as specified **in the PDS.**The Applicant shall furnish information on commissions and gratuities, if any, paid or to be paid to agents or any other party relating to this Application. |
| Application Submission Form | | | The Applicant shall prepare an Application Submission Letter as provided in Section IV, Application Forms. This Letter must be completed without any alteration to its format. |
| Documents Establishing the Eligibility of the Applicant | | | To establish its eligibility in accordance with ITA 4, the Applicant shall complete the eligibility declarations in the Application Submission Letter and Forms ELI (eligibility) 1.1 and 1.2, included in Section IV, Application Forms. |
| Documents Establishing the Qualifications of the Applicant | | | To establish its qualifications to perform the contract(s) in accordance with Section III, Qualification Criteria and Requirements, the Applicant shall provide the information requested in the corresponding Information Sheets included in Section IV, Application Forms.Wherever an Application Form requires an Applicant to state a monetary amount, Applicants should indicate the USD equivalent using the rate of exchange determined as follows:  1. For financial data required for each year - Exchange rate prevailing on the last day of the respective calendar year (in which the amounts for that year is to be converted). 2. Value of single contract - Exchange rate prevailing on the date of the contract.  Exchange rates shall be taken from the publicly available source identified in the **PDS**. Any error in determining the exchange rates in the Application may be corrected by the Employer. |
| Signing of the Application and Number of Copies | | | The Applicant shall prepare one original of the documents comprising the application as described in ITA 11 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 an authorized representative of the JV on behalf of the JV and so as to be legally binding on all the members as evidenced by a power of attorney signed by their legally authorized signatories.The Applicant shall submit copies of the signed original application, in the number specified **in the** **PDS,** and clearly mark them “COPY”. In the event of any discrepancy between the original and the copies, the original shall prevail. |
| 1. Submission of Applications | | | |
| Sealing and Marking of Applications | | | The Applicant shall enclose the original and the copies of the application in a sealed envelope that shall:bear the name and address of the Applicant;be addressed to the Employer, in accordance with ITA 17.1; andbear the specific identification of this prequalification process indicated **in the** **PDS** in accordance with ITA 1.1; |
|  | | | The Employer will accept no responsibility for not processing any envelope that was not identified as required in ITA 16.1 above. |
| Deadline for Submission of Applications | | | Applicants may always submit their applications by mail or by hand. Applications shallbe received by the Employer at the address and no later than the deadline indicated **in the** **PDS.** When so specified **in the** **PDS**, applicants shall have the option of submitting their applications electronically, in accordance with electronic application submission procedures specified **in the** **PDS.**The Employer may, at its discretion, extend the deadline for the submission of applications by amending the Prequalification Document in accordance with ITA 8, in which case all rights and obligations of the Employer and the Applicants subject to the previous deadline shall thereafter be subject to the deadline as extended. |
| Late Applications | | | Any application received by the Employer after the deadline for submission of applications prescribed in ITA 17 will be treated as indicated in the PDS. |
| Opening of Applications | | | The Employer shall open all Applications at the date, time and place specified **in the** **PDS**.Applications submitted electronically (if permitted pursuant to ITA 17.1) shall be opened in accordance with the procedures specified in the PDS.The Employer shall prepare a record of the opening of applications that shall include, as a minimum, the name of the Applicant. A copy of the record shall be distributed to all Applicants. |
| 1. Procedures for Evaluation of Applications | | | |
| Confidentiality | | | Information relating to the evaluation of applications, and results of the prequalification, shall not be disclosed to Applicants or any other persons not officially concerned with such process until the notification of prequalification is made to all Applicants in accordance with ITA 27.From the deadline for submission of applications to the time of notification of the results of the prequalification in accordance with ITA 27, any Applicant that wishes to contact the Employer on any matter related to the prequalification process, may do so but only in writing. |
| Clarification of ApplicationsResponsiveness of Applications | | | 21.1 To assist in the evaluation of applications, the Employer may, at its discretion, ask any Applicant for a clarification (including missing documents) of its application which shall be submitted within a stated reasonable period of time. Any request for clarification and all clarifications shall be in writing.21.2 If an Applicant does not provide clarifications and/or documents requested by the date and time set in the Employer’s request for clarification, its Application shall be evaluated based on the information and documents available at the time of evaluation of the Application. 22.1 The Employer may reject any application which is not responsive to the requirements of the prequalification document. In case the information furnished by the Applicant is incomplete or otherwise requires clarification |
|  | | | as per ITA 21.1, and the Applicant fails to provide satisfactory clarification and/or missing information, it may result in disqualification of the Applicant. |
| Sub-contractors | | | Unless otherwise stated **in the** **PDS,** the Employer does not intend to execute any specific elements of the Services by subcontractors selected in advance by the Employer (so-called “Nominated Subcontractors”)**.**The Applicant shall not propose to subcontract the whole of the Management Services. The Employer, in ITA 23.3, may permit the Applicant to propose subcontractors for certain specialized parts of the services as indicated therein as (“Specialized Subcontractors”). Applicants planning to subcontract any of the Key Activities indicated in Section III, Qualification Criteria and Requirements, shall specify the activity(ies) or parts of the Services to be subcontracted in the Application Submission Form. Applicants shall clearly identify the proposed Specialized Subcontractors in Forms ELI-1.2 and EXP (experience) 4.2(b) in Section IV. Such proposed Specialized Subcontractor(s) shall meet the corresponding qualification requirements specified in Section III, Qualification Criteria and Requirements.Specialized Subcontractors may, if specified **in the PDS**, be used to meet requirements under 4.2(b) in Section III, Qualification Criteria and Requirements.Qualifications of Specialist Personnel, defined as personnel of the lead firm or Joint Venture (hereinafter referred to as Specialist Personnel), may, if specified **in the PDS**, be used to meet requirements under 4.2(b) in Section III, Qualification Criteria and Requirements. |
| 1. Evaluation of Applications and Prequalification of Applicants | | | |
| Evaluation of Applications | | | The Employer shall use the factors, methods, criteria, and requirements defined in Section III, Qualification Criteria and Requirements to evaluate the qualifications of the Applicants. The use of other methods, criteria, or requirements shall not be permitted. The Employer reserves the right to waive minor deviations in the qualification criteria if they do not materially affect the capability of an Applicant to perform the contract. |
|  | | | Only the qualification of Specialized Subcontractors and specialist personnel, in accordance with ITA 23.3 and ITA 23.4 that have been identified in the Application may be considered in the evaluation of an Applicant.Only the qualifications of the Applicant shall be considered. The qualifications of other firms, including the Applicant’s subsidiaries, parent entities, affiliates, subcontractors (other than Specialized Subcontractors in accordance with ITA 23.3 above) or any other firm(s) different from the Applicant that submitted the Application shall not be considered. |
| Employer’s Right to Accept or Reject Applications | | | The Employer 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 Applicants. |
| Pre-qualification of Applicants | | | All Applicants whose Applications substantially meet or exceed the specified qualification requirements will be prequalified by the Employer.An Applicant may be “conditionally prequalified,” that is, qualified subject to the Applicant submitting or correcting certain specified nonmaterial documents or deficiencies to the satisfaction of the Employer.Applicants that are conditionally prequalified will be so informed along with the statement of the condition(s) which must be met to the satisfaction of the Employer before or at the time of submitting their bids. |
| Notification of PrequalificationRequest for Bids | | | 27.1 The Employer shall notify all Applicants in writing of the names of those Applicants who have been prequalified or conditionally prequalified. In addition, those Applicants who have been disqualified will be informed separately.27.2 Applicants that have not been prequalified may write to the Employer to request, in writing, the grounds on which they were disqualified.28.1 Promptly after the notification of the results of the prequalification the Employer shall invite bids from all the Applicants that have been prequalified or conditionally prequalified. 28.2 Bidders may be required to provide a Bid Security or a Bid Securing Declaration acceptable to the Employer in the form and an amount to be specified in the Bidding |
|  | | | Document, and the successful Bidder shall be required to provide a Performance Security to be specified in the bidding document. 28.3 If required in the Bidding documents, the successful Bidder shall provide additional information about its beneficial ownership using the Beneficial Ownership Disclosure Form included in the bidding document. |
| Changes in Key Personnel or Qualifications of Applicants | | | Any change in the structure, formation, key staff or qualifications of an Applicant after being prequalified in accordance with ITA 26 and invited to bid (including, in the case of a JV, any change in the structure or formation of any member and also including any change in any Specialized Subcontractor) shall be subject to a written approval of the Employer prior to the deadline for submission of bids. Such approval shall be denied if (i) a prequalified Applicant proposes to associate with a disqualified Applicant or in case of a disqualified joint venture, any of its members, (ii) as a consequence of the change the Applicant no longer substantially meets the qualification criteria set forth in Section III, Qualification Criteria and Requirements, or (iii) if in the opinion of the Employer, a substantial reduction in competition may result. Any such changes shall be submitted to the Employer not later than 14 days after the date of the Request for Bids. |
| Procurement Related Complaint | | | The procedures for making a Procurement-related Complaint are as specified in the PDS. |

|  |  |  |
| --- | --- | --- |
| Section II - Prequalification Data Sheet (PDS) | | |
| **A. General** | | |
| **ITA 1.1** | The identification of the Invitation for Prequalification is:*[insert number]*  The Employer is: *[insert full name, including name of Project Officer, and address]*  RFB name and number are: *[insert name and identification number]* | |
| **ITA 2.1** | The Borrower is: *[insert name of the Borrower and statement of relationship with the Employer, if different from the Borrower. This insertion should correspond to the information to be provided in the RFB]* | |
| **ITA 2.1** | The name of the Project is: *[insert name of Project]* | |
| **ITA 4.2** | (i) The parties in a JV *[insert “shall” or “shall not”]* be jointly and severally liable.  (ii) Maximum number of partners in the JV shall be: *[insert a number or insert “not limited”]* | |
| **ITA 4.7** | A list of debarred firms and individuals is available on the Bank’s external website: <http://www.worldbank.org/debarr.> | |
| **B. Contents of the Prequalification Document** | | |
| **ITA 7.1** | | | For **clarification purposes,** the Employer's address is:  *[insert information \_or state “same as in 1.1 above”]*  Attention: *[insert name and room number of Project Officer]*  Address: *[insert street name and number]*  *[insert floor and room number, if applicable]*  City: *[insert name of city or town]*  ZIP Code: *[insert postal (ZIP) code, if applicable]*  Country: *[insert name of country]*]  Telephone: *[insert telephone number**including country and city codes]*  Facsimile number: *[insert fax number**including country and city codes]*  Electronic mail address: *[insert e-mail address of Project Officer]* |
| **ITA 7.1 & 8.2** | | | Web page: *[In case used, identify the widely used website or electronic portal of free access where prequalification information is published]* |
| **ITA 7.2** | | | Pre-Application Meeting will be held: *[Yes/No]*  *[If Yes, please add the address, date and time of the meeting]* |
| **C. Preparation of Applications** | | |
| **ITA 10.1** | This Prequalification document has been issued in the *[Insert “English” or “French” or “Spanish”]* language*.*  *[****Note:*** *In addition to one of the above languages, and if agreed with the Bank, the Borrower has the option to issue translated versions of the Prequalification document in another language which should either be: (a) the national language of the Borrower; or (b) the language used nation-wide in the Borrower’s country for commercial transactions. In such case, the following text shall be added:]*  *“In addition, the Prequalification document is translated into the [insert national or nation-wide used] language [if there are more than one national or nation-wide used language, add “and in the \_\_\_\_\_\_\_\_\_\_\_\_” [insert the second national or nation-wide language].*  *Applicants shall have the option to submit their Prequalification Application in any one of the languages stated above. Applicants shall not submit Applications in more than one language.]”*  All correspondence exchange shall be in \_\_\_\_\_\_\_\_\_\_\_\_ language.  The Application as well as all correspondence shall be submitted in \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. *[Insert the language of the Prequalification document in case of one language]*  *[****Note:*** *If the Prequalification Document is issued in more than one language, the following text shall be inserted above: “in one of the above languages”]*  Language for translation of supporting documents and printed literature is \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. *[Specify one language]* | |
| **ITA 11.1(d)** | The Applicant shall submit with its application, the following additional documents: *[insert list of additional documents, if any]* | |
| **ITA 14.2** | The source for determining exchange rates is *[insert a publicly available source]* | |
| **ITA 15.2** | In addition to the original, the number of copies to be submitted with the application is: *[insert number of copies]* | |
| **D. Submission of Applications** | | |
| **ITA 17.1** | **The deadline for application submission is**:  Date: *[insert date]*  Time: *[insert time]*  *[The time allowed for preparation and submission of the prequalification document should be sufficient for Applicants to gather all the information required—preferably eight weeks, but in any case not less than six weeks after the dates when the documents are available for distribution or the date of the advertisement. This period may be longer for very large projects, where time should be allowed for the formation of joint ventures and assembly of the necessary resources.]*  For **application submission purposes only**, the Employer's address is:  *[insert information requested below or insert “Employer’s address is the same as that indicated in 1.1]*  Attention: *[insert name and room number of Project Officer]*  Address: *[insert street name and number]*  *[insert floor and room number, if applicable]*  City: *[insert name of city or town]*  ZIP Code: *[insert postal (ZIP) code, if applicable]*  Country: *[insert name of country]*]  Telephone: *[insert telephone number**including country and city codes]*  Facsimile number: *[insert fax number**including country and city codes]*  Electronic mail address: *[insert e-mail address of Project Officer]*  Applicants *[insert “shall” or “shall not”]* have the option of submitting their applications electronically.  [*The following provision should be included and the required corresponding information inserted only if Applicants have the option of submitting their Applications electronically. Otherwise omit.]*  The electronic Application submission procedures shall be: *[insert a description of the electronic Application submission procedures.]* | |
| **ITA 18.1** | *[Choose one of the two options below:]*  Late applications will be returned unopened to the Applicants.  *[or]*  The Employer reserves the right to accept or reject late applications. | |
| **ITA 19.1** | The opening of the Applications shall be at *[Insert date, time and address]* | |
| **ITA 19.2** | [*The following provision should be included and the required corresponding information inserted only if Applicants have the option**of submitting their Applications electronically. Otherwise omit.]*  The electronic Application opening procedures shall be: *[insert a description of the electronic Application opening procedures.]* | |
| **E. Procedures for Evaluation of Applications** | | |
| **ITA 23.1** | At this time the Employer *[insert “intends” or “does not intend”]* to execute certain specific parts of the services by subcontractors selected in advance.  *[If the above states “intends” list the specific parts of the Management Services and the respective sub-contractors]* | |
| **ITA 23.3** | Specialized Subcontractors *[may/may not]* be used to meet requirements under 4(b) of Section III, Qualification Criteria and Requirements | |
| **ITA 23.4** | Specialist Personnel *[may/may not]* be used to meet requirements under 4(b) of Section III, Qualification Criteria and Requirements | |
| **F. Evaluation of Applications and Prequalification of Applicants** | | |
| **ITA 30.1** | The procedures for making a Procurement-related Complaint are detailed in the “[Procurement Regulations for IPF Borrowers](http://www.worldbank.org/en/projects-operations/products-and-services/brief/procurement-new-framework) (Annex III).” If an Applicant wishes to make a Procurement-related Complaint, the Applicant should submit its complaint following these procedures, in writing (by the quickest means available, that is either by email or fax), to:  **For the attention**: *[insert full name of person receiving complaints]*  **Title/position**: *[insert title/position]*  Employer: *[insert name of* Employer*]*  **Email address***: [insert email address]*  **Fax number**: *[insert fax number]* ***delete if not used***  In summary, at this stage, a Procurement-related Complaint may challenge any of the following:   1. the terms of the Prequalification Documents; and 2. the Employer’s decision not to prequalify an Applicant. | |

Section III - Qualification Criteria and Requirements

This Section contains all the methods, criteria, and requirements that the Employer shall use to evaluate applications. The information to be provided in relation to each requirement and the definitions of the corresponding terms are included in the respective Application Forms.

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| **Eligibility and Qualification Criteria** | | | | **Compliance Requirements** | | | | **Documentation** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Subject** | **Requirement** | **Single Entity** | **Joint Venture** | | | | **Submission Requirements** |
| **All members Combined** | | **Each Member** | **One Member** |
| **1. Eligibility** | | | | | | | | |
| 1.1 | **Nationality** | Nationality in accordance with ITA Sub-Clause 4.3. | Must meet requirement | Existing or intended JV must meet requirement | Must meet requirement | | N / A | Forms ELI –1.1 and 1.2, with attachments |
| 1.2 | **Conflict of Interest** | No conflicts of interest in ITA 4.4. | Must meet requirement | Existing or intended JV must meet requirement | Must meet requirement | | N / A | Application Submission Form |
| 1.3 | **Bank Eligibility** | Not having been declared ineligible by the Bank, as described in ITA 4.6. | Must meet requirement | Existing JV must meet requirement | Must meet requirement | | N / A | Application Submission Form |
| 1.4 | **State-owned enterprise of the Borrower Country** | Applicant required to meet conditions of ITA 4.7 | Must meet requirement | Must meet requirement | Must meet requirement | | N / A | Forms ELI -1.1 and 1.2, with attachments |
| 1.5 | **United Nations resolution or Borrower’s country law** | Not having been excluded as a result of the Borrower’s country laws or official regulations, or by an act of compliance with UN Security Council resolution, in accordance with ITA 4.8 | Must meet requirement | Must meet requirement | Must meet requirement | | N / A | Forms ELI -1.1 and 1.2, with attachments |

| **Eligibility and Qualification Criteria** | | | | **Compliance Requirements** | | | | | **Documentation** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Subject** | **Requirement** | **Single Entity** | **Joint Venture** | | | | | **Submission Requirements** |
| **All members Combined** | **Each Member** | | **One Member** | |
| **2. Historical Contract Non-Performance** | | | | | | | | | |
| 2.1 | **History of Non-Performing Contracts** | Non-performance of a contract did not occur within the last *[insert number]* years*, [insert in words]* years prior to the deadline for application submission based on all information on fully settled disputes or litigation. A fully settled dispute or litigation is one 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. | Must meet requirement by itself or as partner to past or existing JV | N / A | | Must meet requirement by itself or as partner to past or existing JV | N / A | Form CON - 2 | |
| 2.2 | **Suspension Based on Execution of Bid/Proposal Securing Declaration by the Employer** | Not being under execution of a Bid/Proposal Securing Declaration, pursuant to ITA 4.8. | Must meet requirement. | Must meet requirement | | Must meet requirement | N/A | Application Submission Form | |
| 2.3 | **Pending Litigation** | All pending litigation shall in total not represent more than *[insert number]* %, *[insert percentage in words]* of the Applicant's net worth and shall be treated as resolved against the Applicant. | Must meet requirement by itself or as partner to past or existing JV | N / A | | Must meet requirement by itself or as partner to past or existing JV | N / A | Form CON - 2 | |

| **Eligibility and Qualification Criteria** | | | | **Compliance Requirements** | | | **Documentation** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Subject** | **Requirement** | **Single Entity** | **Joint Venture** | | | **Submission Requirements** |
| **All members Combined** | **Each Member** | **One Member** |
| **3. Financial Performance** | | | | | | | |
| 3.1 | **Financial Capabilities** | (i) The Applicant shall demonstrate that it has access to, or has available, liquid assets, unencumbered real assets, lines of credit, and other financial means (independent of any contractual advance payment) sufficient to meet the cash flow requirements estimated as USD $ *[insert amount in US$]* for the subject contract(s) net of the Applicants other commitments  (ii) The Applicant shall also demonstrate, to the satisfaction of the Employer, that it has adequate sources of finance to meet the cash flow requirements on contracts currently in progress and for future contract commitments.  (iii) The audited balance sheets or, if not required by the laws of the Applicant’s country, other financial statements acceptable to the Employer, for the last *[insert number]* years shall be submitted and must demonstrate the current soundness of the Applicant’s financial position and indicate its prospective long-term profitability. | Must meet requirement  Must meet requirement  Must meet requirement | Must meet requirement  Must meet requirement  N/A | N/A  N/A  Must meet requirement | N/A  N/A  N/A | Form FIN – 3.1, with attachments |
| 3.2 | **Average Annual Turnover** | [Minimum average annual turnover of US$ *[insert amount in US$ equivalent in words and figures]*, calculated as total certified payments received for contracts in progress and/or completed within the last *[insert number]* years, divided by *[insert number of years in words]* years | Must meet requirement | Must meet requirement | Must meet *[insert number]* %*,[insert percentage in words]* of the requirement | Must meet *[insert number]* %, *[insert* percentage in words ] of the requirement | Form FIN - 3.2 |

| **Eligibility and Qualification Criteria** | | | | | **Compliance Requirements** | | | | | **Documentation** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Subject** | **Requirement** | **Single Entity** | | **Joint Venture** | | | | | **Submission Requirements** |
| **All members Combined** | **Each Member** | | | **One Member** |
| **4. Experience** | | | | | | | | | | |
| **4.1** | **General Experience** | Experience in *[List relevant sectors or business lines]* under contracts in the role of contractor, subcontractor, or management contractor for at least the last *[insert number]* years prior to the applications submission deadline, and with activity in at least nine (9) months in each year. | Must meet requirement | N / A | | | Must meet requirement | N / A | | Form EXP-4.1 |
| **4.2 (a)** | **Specific Experience** | A minimum number of *[state the number]* similar contracts specified below that have been satisfactorily and substantially8 completed as a prime contractor, joint venture member [[9]](#footnote-1), management contractor or sub-contractor1 between 1st January *[insert year]* and Application submission deadline:  *[Specify minimum key requirements in terms of physical size, complexity, methods, technology and/or other characteristics, ]* | Must meet requirement | Must meet requirement | | | N / A | Must meet the following requirement *[Insert minimum requirements that have to be met by one member, otherwise state: “N/A.]* | | Form EXP 4.2(a) |
| 4.2 (b) |  | For the above or other contracts executed during the period stipulated in 4.2 (a) above, a minimum experience in the following key activities: *[list key activities in accordance with Section VII Service Requirements.]* | Must meet requirements | Must meet requirements | | | N / A | Must meet the following requirements for key activities listed below *[Insert minimum requirements that have to be met by one member, otherwise state: “N/A.]* | | For specialist subcontractors: Form EXP-4.2(b);  For specialist personnel: Form EXP-4.2(b) and Forms PER 5.1(a) and PER 5.1(b) |

| Eligibility and Qualification Criteria | | | | | Compliance Requirements | | | | Documentation | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| No. | Subject | Requirement | Single Entity | | Joint Venture | | | | Submission Requirements | |
| **All members Combined** | **Each Member** | | **One Member** |
| **5. Management Staff** | | | | | | | | | | |
| 5.1 | Key Staff | *[Minimum staff qualifications here.* | Must meet requirement | Must meet requirement | | N/A |  | | | Forms PER 5.1(a) and PER 5.1(b) |

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| Section IV - Application Forms |

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Application Submission Letter

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

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

To: *[insert full name of Employer]*

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

1. **No reservations:** We have examined and have no reservations to the Prequalification Document, including Addendum(s) No(s), issued in accordance with ITA 8: *[insert the number and issuing date of each addendum].*
2. **No conflict of interest:** We have no conflict of interest in accordance with ITA 4.4;
3. **Eligibility:** We (and our subcontractors) meet the eligibility requirements as stated ITA 4, we have not been suspended by the Employer based on execution of a Bid/Proposal Securing Declaration in accordance with ITA 4.10;
4. **Suspension and Debarment**: We, along with any of our subcontractors, suppliers, consultants, manufacturers, or service providers for any part of the contract, are not subject to, and not controlled by any entity or individual that is subject to, a temporary suspension or a debarment imposed by the World Bank Group or a debarment imposed by the World Bank Group in accordance with the Agreement for Mutual Enforcement of Debarment Decisions between the World Bank and other development banks. Further, we are not ineligible under the Employer’s country laws or official regulations or pursuant to a decision of the United Nations Security Council;
5. **State-owned enterprise or institution:** [*select the appropriate option and delete the other*] [*We are not a state-owned enterprise or institution*] / [*We are a state-owned enterprise or institution but meet the requirements of ITA 4.8]*;
6. **Subcontractors and Specialized Subcontractors:** We, in accordance with ITA 23.3, plan to subcontract the following key activities and/or parts of the services:

*[Insert any of the key activities which the Applicant intends to subcontract along with complete details of the Specialized Subcontractors, their qualification and experience]*

1. **Commissions, gratuities, fees:** We declare that the following commissions, gratuities, or fees have been paid or are to be paid with respect to the prequalification process, the corresponding Bidding process or execution of the Contract:

|  |  |  |  |
| --- | --- | --- | --- |
| Name of Recipient | Address | Reason | Amount |
| *[insert full name for each occurrence]* | *[insert street/ number/city/country]* | *[indicate reason]* | *[specify amount currency, value, exchange rate and US$ equivalent]* |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

*[If no payments are made or promised, add the following statement: “No commissions or gratuities have been or are to be paid by us to agents or any third party relating to this Application]*

1. **Not bound to accept:** 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 the contract subject of this Prequalification process, without incurring any liability to the Applicants, in accordance with ITA 25.1.
2. **True and correct:** 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.

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

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

In the capacity of *[insert capacity of person signing the Application]*

Duly authorized to sign the Application for and on behalf of: Applicant’s Name *[insert full name of Applicant or the name of the JV]*

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

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

[For a joint venture, either all members shall sign or only the authorized representative, in which case the power of attorney to sign on behalf of all members shall be attached]

Form ELI – 1.1

Applicant Information Form

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

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

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

|  |
| --- |
| Applicant’s legal name  *\_\_[insert full legal name]\_\_\_\_* |
| In case of Joint Venture (JV), legal name of each partner:  *\_\_\_[insert full legal name of each partner in JV] \_\_\_\_* |
| Applicant’s Actual or Intended country of constitution:  *\_\_[indicate country of Constitution]\_\_* |
| Applicant’s actual or Intended year of constitution:  *\_\_\_[indicate year of Constitution]\_\_* |
| Applicant’s legal address in country of constitution:  *\_\_\_[insert street/ number/ town or city/ country]\_\_\_\_* |
| Applicant’s authorized representative information  Name: *\_\_[insert full legal name]\_\_\_\_*  Address: *\_\_\_[insert street/ number/ town or city/ country]\_\_\_\_*  Telephone/Fax numbers: *[insert telephone/fax numbers, including country and city codes]*  E-mail address: *\_\_\_[indicate e-mail address]\_\_\_* |
| Attached are copies of original documents of:  Articles of Incorporation or Documents of Constitution, and documents of registration of the legal entity named above, in accordance with ITA 4.3.  In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.2.  In case of state-owned enterprise or institution, in accordance with ITA 4.8 documents establishing:   * Legal and financial autonomy * Operation under commercial law * Establishing that the Applicant is not under supervision of the Employer   2. Included are the organizational chart, a list of Board of Directors, and the beneficial ownership. |

Form ELI – 1.2

Applicant’s JV Information Form

*[The following form is additional to Form ELI – 1.1., and shall be completed to provide information relating to each JV member (in case the Applicant is a JV) as well as any Specialized Sub-contractor proposed to be used by the Applicant for any part of the Contract resulting from this prequalification]*

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

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

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

|  |
| --- |
| JV Applicant legal name:  *\_\_[insert full legal name]\_\_\_\_* |
| Applicant’s JV Member’s name:  *\_\_\_[ insert full name of Applicant's JV Member] \_\_\_\_\_\_\_\_* |
| Applicant’s JV Member’s country of registration:  *\_\_[indicate country of registration]\_\_* |
| Applicant JV Member’s year of constitution:  *\_\_\_[indicate year of constitution]\_\_* |
| Applicant JV Member’s legal address in country of constitution:  *\_\_\_[insert street/ number/ town or city/ country]\_\_\_\_* |
| Applicant JV Member’s authorized representative information  Name: *\_\_[insert full legal name]\_\_\_\_*  Address: *\_\_\_[insert street/ number/ town or city/ country]\_\_\_\_*  Telephone/Fax numbers: *[insert telephone/fax numbers, including country and city codes]*  E-mail address: *[indicate e-mail address]* |
| Attached are copies of original documents of:  🞎 Articles of Incorporation or Documents of Constitution, and Registration Documents of the legal entity named above, in accordance with ITA 4.2 and 4.3.  🞎 In case of a state-owned enterprise or institution, documents establishing legal and financial autonomy, operation in accordance with commercial law, and are not under the supervision of the Employer, in accordance with ITA 4.8.  2. Included are the organizational chart, a list of Board of Directors, and the beneficial ownership. |

Form CON – 2

Historical Contract Non-Performance and Pending Litigation

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

Applicant’s Legal Name: *[insert full name]*

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

Joint Venture Party Legal Name: [*insert full name]*

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

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

|  |  |  |  |
| --- | --- | --- | --- |
| Non-Performing Contracts in accordance with Section III, Qualification Criteria and Requirements | | | |
| Contract non-performance did not occur during the *[number]* years specified in Section III, Qualification Criteria and Requirements, Sub-Factor 2.1.  Contract(s) not performed during the *[number]* years specified in Section III, Qualification Criteria and Requirements, requirement 2.1 | | | |
| **Year** | **Non performed portion of contract** | **Contract Identification** | **Total Contract Amount (current value, US$ equivalent)** |
| *[insert year]* | *[insert amount and percentage]* | Contract Identification*: [indicate complete contract name/ number, and any other identification]*  Name of Employer: *[insert full name]*  Address of Employer: *[insert street/city/country]*  Reason(s) for nonperformance: *[indicate main reason(s)]* | *[insert amount]* |
|  |  |  |  |
| Pending Litigation, in accordance with Section III, Qualification Criteria and Requirements | | | |
| No pending litigation in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.3.  Pending litigation in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.3 as indicated below. | | | |
| Year | Outcome as Percent of Total Assets | Contract Identification | Total Contract Amount (current value, US$ equivalent) |
| *[insert year]*  *\_\_\_\_* | *[insert*  *percentage]*  *\_\_\_\_\_\_* | Contract Identification: *[indicate complete contract name, number, and any other identification]*  Name of Employer: *[insert full name]*  Address of Employer: *[insert street/city/country]*  Matter in dispute: *[indicate main issues in dispute]* | *[insert amount]*  *\_\_\_\_\_\_\_\_\_\_\_* |
| *\_\_\_\_* | *\_\_\_\_\_\_* | Contract Identification:  Name of Employer:  Address of Employer:  Matter in dispute: | *\_\_\_\_\_\_\_\_\_\_\_* |

Form FIN – 3.1

Financial Situation

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

Applicant’s Legal Name: *[insert full name]* Date: *[insert day, month, year]*

Applicant’s Joint Venture Name*: [insert full name]*

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

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

**1. Financial data**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Financial information in (US$ equivalent in 000s)** | **Historic information for previous** *\_[insert number] years, [insert in words]*  (US$ equivalent in 000s) | | | | |
|  | Year 1 | Year 2 | Year 3 | Year … | Year n |
| Information from Balance Sheet | | | | | |
| Total Assets (TA) |  |  |  |  |  |
| Total Liabilities (TL) |  |  |  |  |  |
| Net Worth (NW) |  |  |  |  |  |
| Current Assets (CA) |  |  |  |  |  |
| Current Liabilities (CL) |  |  |  |  |  |
| Working Capital (WC) |  |  |  |  |  |
| Information from Income Statement | | | | | |
| Total Revenue (TR) |  |  |  |  |  |
| Profits Before Taxes (PBT) |  |  |  |  |  |
| Profits After Taxes (PAT) |  |  |  |  |  |
| Cash Flow Information | | | | | |
| Cash Flow from Operating Activities |  |  |  |  |  |

**2. Sources of Finance**

*[The following table shall be filled in for the Applicant and all parties combined in case of a Joint Venture]*

Specify sources of finance to meet the cash flow requirements on contracts currently in progress and for future contract commitments.

|  |  |  |
| --- | --- | --- |
| **No.** | **Source of finance** | **Amount (US$ equivalent)** |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |

**2. Financial documents**

The Applicant and its parties shall provide copies of the balance sheets and/or financial statements for [number] years pursuant Section III, Qualifications Criteria and Requirements, Sub-Factor 3.1. The financial statements shall:

1. reflect the financial situation of the Applicant or partner to a JV, and not sister or parent companies.
2. be audited by a certified accountant.
3. be complete, including all notes to the financial statements.
4. correspond to accounting periods already completed and audited (no statements for partial periods shall be requested oraccepted).

Attached are copies of financial statements (balance sheets, including all related notes, and income statements) for the *[number]* years required above; and complying with the requirements

Form FIN – 3.2

Annual Turnover Information

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

Applicant’s/Joint Venture Legal Name: *[insert full name]*

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

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

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

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | | Annual turnover data | | |
| Year | Amount and Currency | | **Exchange rate\*** | US$ equivalent |
| *[indicate year]* | *[Insert amount and indicate currency. Include partial accounting for the year up to the date of submission of applications]* | | *rate of exchange at the end of the period reported]* | *[insert amount converted to U.S. dollars ]* |
|  |  | |  |  |
|  |  | |  |  |
|  |  | |  |  |
|  |  | |  |  |
|  |  | |  |  |
| Average Annual Turnover \* |  | |  |  |

\* Average annual turnover calculated as total certified payments received for contracts in progress or completed, divided by the number of years specified in Section III, Qualification Criteria and Requirements, Sub-Factor 3.2.

Form EXP – 4.1

General Sector Experience

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

Applicant’s/Joint Venture Legal Name: *[insert full name]*

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

Applicant JV Member Legal Name: *[insert full name]*

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

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

[*Identify contracts that demonstrate work over the past [number] years pursuant to Section III, Qualification Criteria and Requirements, Sub-Factor 4.1. List contracts chronologically, according to their commencement (starting) dates.]*

| **Starting Month / Year** | **Ending Month / Year** | **Contract Identification** | **Role of Applicant** |
| --- | --- | --- | --- |
| *[indicate month/ year]*  \_\_\_\_\_\_ | *[indicate month/ year]*  \_\_\_\_\_\_ | Contract name*: [insert full name]*  Brief Description of the Services performed by the Applicant: *[describe Services performed briefly]*  Amount of contract: *[insert amount in US$ equivalent]*  Name of Employer: *[indicate full name]*  Address: *[indicate street/number/town or city/country address]* | *[insert “Contractor”, or “Subcontractor”, or” Contract Manager”]*  \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| \_\_\_\_\_\_ | \_\_\_\_\_\_ | Contract name:  Brief Description of the Services performed by the Applicant:  Amount of contract:  Name of Employer:  Address: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| \_\_\_\_\_\_ | \_\_\_\_\_\_ | Contract name:  Brief Description of the Services performed by the Applicant:  Amount of contract:  Name of Employer:  Address: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| \_\_\_\_\_\_ | \_\_\_\_\_\_ | Contract name:  Brief Description of the Services performed by the Applicant:  Amount of contract:  Name of Employer:  Address: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

Form EXP – 4.2(a)

Similar Sector Experience

*[The following table shall be filled in for contracts performed by the Applicant, each partner of a Joint Venture, and Specialist Subcontractors]*

Applicant’s/Joint Venture Legal Name: *[insert full name]*

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

JV Member Name: *[insert full name]*

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

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

[*Identify contracts that demonstrate work over the past [number] years pursuant to Section III, Qualification Criteria and Requirements, Sub-Factor 4.2. List contracts chronologically, according to their commencement (starting) dates.]*

| **Similar Contract No.** *\_\_[insert number]* of *[insert number of similar contracts required]* | **Information** | | | |
| --- | --- | --- | --- | --- |
| Contract Identification | *\_[insert contract name and number, if applicable]\_* | | | |
| Award date | *\_[insert day, month, year, i.e., 15 June, 2015]\_* | | | |
| Completion date | *\_[insert day, month, year, i.e., 03 October, 2017]\_* | | | |
|  |  | | | |
| Role in Contract  *[check the appropriate box]* | Contractor | Management Contractor | Subcontractor | |
|  | ***[insert roles and responsibilities]*** | | | |
| Total Contract Amount | *\_\_\_[insert total contract amount in local currency]\_\_\_* | | | US$ *\_\_[insert total contract amount in US$ equivalent*] |
| If partner in a JV,or subcontractor, specify participation in total contract amount | *[insert a percentage amount]*  \_\_\_\_\_ | *[insert total contract amount in local currency]*  \_\_\_\_\_\_\_\_\_\_\_\_\_ | *[insert total contract amount in US$ equivalent]*  \_\_\_\_\_\_\_\_\_\_\_\_\_ | |
| Employer’s Name: | *\_\_\_[insert full name]\_\_\_* | | | |
| Address:  Telephone/fax number  E-mail: | *[indicate street / number / town or city / country]*  *[insert telephone/fax numbers, including country and city area codes]*  *[insert e-mail address, if available]* | | | |

Form EXP – 4.2(a) (cont.)

**[Specific] Sector Experience (cont.)**

| **Similar Contract No.** *\_\_[insert number]* of *[ number of similar contracts required]* \_\_\_ | **Information** |
| --- | --- |
| Description of the similarity in accordance with Sub-Factor 4.2*(a)* of Section III: |  |
| 1. Amount | *\_\_[insert amount in US$ in words and in figures]\_\_* |
| 1. Physical size | *\_\_[insert physical size of activities]\_\_* |
| 1. Complexity | *\_\_[insert description of complexity]\_\_* |
| 1. Methods/Technology | *\_\_[insert specific aspects of the methods/technology involved in the contract]\_\_* |
| 1. Other Characteristics | *\_\_[insert other characteristics as described in Section VI, Scope of Services]\_\_* |

Form EXP – 4.2(b)

Similar Experience in Key Activities

Applicant’s Legal Name: *[insert full name]*

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

Applicant’s JV member Legal Name: *[insert full name]*

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

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

All Specialist Subcontractors or Specialist Personnel for key activities must complete the information in this form.

1. Key Activity No One: *[insert brief description of the Activity, emphasizing its specificity]*

|  | **Information** | | |
| --- | --- | --- | --- |
| Contract Identification | *\_[insert contract name and number, if applicable]\_* | | |
| Award date | *\_[insert day, month, year, e.g., 15 June, 2015]\_* | | |
| Completion date | *\_[insert day, month, year, e.g., 03 October, 2017]\_* | | |
| Role in Contract  *[check the appropriate box]* | Contractor | Management Contractor | Subcontractor |
| Total Contract Amount | *\_\_\_[insert total contract amount in local currency]\_\_\_* | | US$ *\_\_[insert total contract amount in US$ equivalent]* |
| If party in a JV, specify participation of total contract amount | *[insert a percentage amount]*  \_\_\_\_\_ | [*insert total contract amount in local currency]*  \_\_\_\_\_\_\_\_\_\_\_\_\_ | *[insert total contract amount in US$ equivalent]*  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Employer’s Name: | *\_\_\_[insert full name]\_\_\_* | | |
| Address:  Telephone/fax number  E-mail: | *[indicate street / number / town or city / country]*  *[insert telephone/fax numbers, including country and city area codes]*  *[insert e-mail address, if available]* | | |

2. Activity No. Two

3. …………………

Form EXP – 4.2(b) (cont.)

**Similar Experience in Key Activities (cont.)**

|  | **Information** |
| --- | --- |
| Description of the key activities in accordance with Sub-Factor 4.2(b*)* of Section III: |  |
|  | *\_\_[insert response to inquiry indicated in left column]\_\_* |
|  |  |
|  |  |
|  |  |
|  |  |

Form PER – 5.1(a)

Personnel Capabilities for Specialist Subcontracting or Key Staff

*[Applicants should provide the names of at least two candidates qualified to meet the specified requirements stated for each position pursuant to Section III, Qualification Criteria and Requirements, Sub-Factor 5.1. This form should be used for Key Staff as well as for Specialist Subcontractor Personnel]*

Name of Candidate’s Employer (i.e., Applicant, joint venture, or key subcontracting firm)

|  |  |
| --- | --- |
| 1. | Title of position\* |
| Name of prime candidate |
| Name of alternate candidate |
| 2. | Title of position\* |
| Name of prime candidate |
| Name of alternate candidate |

Form PER – 5.1(b)

Key Staff or Specialist Personnel Candidate Summary

*[Applicants should demonstrate how each of the candidates listed in Form PER 5.1(a) are qualified to meet the specified requirements stated for each position pursuant to Section III, Qualification Criteria and Requirements, Sub-Factor 5.1. One form should be filled out for each prime and alternative candidate proposed. This form should be used for Key Staff as well as for Specialist Subcontractor Personnel.]*

Name of Candidate’s Employer (i.e., Applicant, joint venture, or key subcontracting firm)

|  |  |  |
| --- | --- | --- |
| Position | | Candidate  🗆 Prime 🗆 Alternate |
| Candidate Information | Name of Candidate | Date of Birth |
| Professional qualifications | |
| Present Employment | Name of Employer | |
| Address of Employer | |
| Telephone | Contact (manager/personnel officer) |
| Fax | Telex |
| Job title of candidate | Years with present employer |

*[Summarize professional experience over the last twenty years, in reverse chronological order. Indicate particular technical and managerial experience relevant to the project.]*

|  |  |  |
| --- | --- | --- |
| From | To | Company/Project/Position/Relevant technical and management experience and contact information for client (including telephone, fax and email) |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

Section V - Eligible Countries

**Eligibility for the Provision of Goods, Works and Services in Bank-Financed Procurement**

In reference to ITA 4.9, for the information of the Applicants, at the present time firms and individuals, supply of goods, or contracting of works or services, from the following countries are excluded from this prequalification process:

Under ITA 4.9 (a)  *[insert a list of the countries following approval by the Bank to apply the restriction or state “none”]*

Under ITA 4.9 (b)  *[list the countries or state “none”]*

Section VI - Fraud and Corruption

(Section VI shall not be modified)

1. **Purpose**
   1. The Bank’s Anti-Corruption Guidelines and this annex apply with respect to procurement under Bank Investment Project Financing operations.
2. **Requirements**
3. The Bank requires that Borrowers (including beneficiaries of Bank financing); bidders (applicants/proposers), consultants, contractors and suppliers; any sub-contractors, sub-consultants, service providers or suppliers; any agents (whether declared or not); and any of their personnel, observe the highest standard of ethics during the procurement process, selection and contract execution of Bank-financed contracts, and refrain from Fraud and Corruption.
4. To this end, the Bank:
5. Defines, for the purposes of this provision, the terms set forth below as follows:
6. “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
7. “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;
8. “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
9. “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
10. “obstructive practice” is:
11. deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
12. acts intended to materially impede the exercise of the Bank’s inspection and audit rights provided for under paragraph 2.2 e. below.
13. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/ or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
14. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring misprocurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;
15. Pursuant to the Bank’s Anti-Corruption Guidelines and in accordance with the Bank’s prevailing sanctions policies and procedures, may sanction a firm or individual, either indefinitely or for a stated period of time, including by publicly declaring such firm or individual ineligible (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner;[[10]](#footnote-2) (ii) to be a nominated[[11]](#footnote-3) sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract; and (iii) to receive the proceeds of any loan made by the Bank or otherwise to participate further in the preparation or implementation of any Bank-financed project;
16. Requires that a clause be included in bidding/request for proposals documents and in contracts financed by a Bank loan, requiring (i) bidders (applicants/proposers), consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel, permit the Bank to inspect[[12]](#footnote-4) all accounts, records and other documents relating to the procurement process, selection and/or contract execution,, and to have them audited by auditors appointed by the Bank.

PART 2 – Service Requirements

Section VII – Scope of Services

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Schedule A: Recitals and Objectives

**Recitals**

[Insert Background and Context

**Objectives**

[Insert Objectives

Schedule B: Services

|  |  |
| --- | --- |
| Services | Dependencies |
| [List services as required including:   * General management of the utility * Specific Services such as   1. Improving billing system   2. Developing maintenance plans   3. Managing network extensions   4. Managing meter installations   5. Etc.] | [For each service, list key complementary inputs, such as loans, capital costs, Government decisions, on which it depends] |

Schedule C: Know-how Transfer and Training

**Know-how and systems to be transferred**

**Software, systems and manuals to be left at the end of the Contract**

**Training program required**

Schedule D: Performance Targets

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Periods |  |  |  |
| Performance Targets |  |  |  |  |
| [ insert indicators to be used] |  | [ insert target value for each period] |  |  |
|  |  |  |  |  |

Schedule E: Contractor’s Personnel

**[List positions and Key Staff members.**

Schedule F: Specified Works and Finance

**[Specify any Capital Works the Contractor is to manage, and its role.**

**Specify any Finance the Contractor is to procure, and its role.**

1. *[Insert the following if applicable]. This contract will be jointly financed by [insert name of cofinancing agency]. Bidding will be governed by the World Bank’s eligibility rules and procedures.* [↑](#endnote-ref-1)
2. *A brief description of the Management Services should be provided, including description and location of the system, and other information necessary to enable potential Bidders to decide whether or not to respond to the invitation.*  [↑](#endnote-ref-2)
3. *Insert this sentence if applicable.* [↑](#endnote-ref-3)
4. *For example, 0900 to 1200 hours.* [↑](#endnote-ref-4)
5. *The fee, to defray printing and mailing/shipping costs, should be nominal.* [↑](#endnote-ref-5)
6. *For example, cashier’s check, direct deposit to specified account, etc.* [↑](#endnote-ref-6)
7. *The delivery procedure is usually airmail for overseas delivery and surface mail or courier for local delivery. If urgency or security dictates, courier services may be required for overseas delivery. With the agreement of the World Bank, documents may be distributed by e-mail, downloading from authorized web sites or electronic procurement system. PQ document (in Read Only form) should to be posted on the Employer’s web page for inspection by prospective Applicants.* [↑](#endnote-ref-7)
8. *The time allowed for preparation of the prequalification submission should be sufficient for applicants to gather all the information required, but in any case not less than six weeks after the date the documents are available or the last date of the advertisement, whichever is later.* [↑](#endnote-ref-8)
9. For contracts under which the Applicant participated as a joint venture member or sub-contractor, only the Applicant’s share, by value, and role and responsibilities shall be considered to meet this requirement. [↑](#footnote-ref-1)
10. For the avoidance of doubt, a sanctioned party’s ineligibility to be awarded a contract shall include, without limitation, (i) applying for pre-qualification, expressing interest in a consultancy, and bidding, either directly or as a nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider, in respect of such contract, and (ii) entering into an addendum or amendment introducing a material modification to any existing contract. [↑](#footnote-ref-2)
11. A nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider (different names are used depending on the particular bidding document) is one which has been: (i) included by the bidder in its pre-qualification application or bid because it brings specific and critical experience and know-how that allow the bidder to meet the qualification requirements for the particular bid; or (ii) appointed by the Borrower. [↑](#footnote-ref-3)
12. Inspections in this context usually are investigative (i.e., forensic) in nature. They involve fact-finding activities undertaken by the Bank or persons appointed by the Bank to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to: accessing and examining a firm's or individual's financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies thereof as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third party verification of information. [↑](#footnote-ref-4)