**STANDARD PROCUREMENT DOCUMENT**

**Prequalification Document**

**Works**

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



**JANUARY, 2017**

This document is subject to copyright.

This document may be used and reproduced for non-commercial purposes only. Any commercial use, including without limitation reselling, charging to access, redistribute, or for derivative works such as unofficial translations based on this document is not allowed.

**Revisions**

**January 2017**

This revision dated January 2017 incorporates changes to enhance environmental, social, health and safety performance. In addition, editorial improvements 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 Works through Request for Bids (RFB) method 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* (“Procurement Regulations”), July 2016. This SPD is applicable to the prequalification process for the procurement of Works funded by IBRD or IDA-financed projects whose Legal Agreement makes reference to the Procurement Regulations.

To obtain further information on procurement under World Bank-financed projects or for questions 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 Works**

**PART 1 – PREQUALIFICATION PROCEDURES Section I - Instructions to Applicants (ITA)**

This Section provides information to help the Applicants in preparing and submitting their Applications for Prequalification (“Applications”). 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 includes provisions that are specific to each prequalification and supplement Section I, Instructions to Applicants.

**Section III - Qualification Criteria and Requirements**

This Section specifies 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 includes 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 – WORKS’ REQUIREMENTS Section VII - Scope of Works**

This Section includes a summary description, delivery and completion schedules, and Site and other Data of the Works subject of this Prequalification.

**Specific Procurement Notice**

**Template**

**Invitation for Prequalification**

**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/Beneficiary/Recipient] [has received/has applied for/intends to apply for]* financing from the World Bank toward the cost of the *[insert name of project or grant], and intends to apply part of the proceeds toward payments under the contract [[1]](#footnote-1)for [insert title of contract]*[[2]](#footnote-2).

2. The *[insert name of implementing agency]* intends to prequalify contractors for *[insert contract number and/or name, a brief description of the type(s) of works to be provided, including quantities, location and other information necessary to enable potential Bidders to decide whether or not to respond to this prequalification. This information may include the essential items listed in the Prequalification Document and also any important or specialized prequalification requirements].*  It is expected that the Request for Bids will be made in *[insert month and year].*

3. Prequalification will be conducted through the procedures as 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 eligible Applicants as defined in the Procurement Regulations.

4. Interested eligible Applicants may obtain further information from the [*insert name of agency*] at the address below [*insert address at end of document*] during office hours [*insert office hours if applicable, e.g. 0900 to 1700 hours*]. A complete set of prequalification documents 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 of [*insert amount in local currency*] or [*insert amount in specified convertible currency, e.g. US$*]. The method of payment will be [*insert method of payment*]. The document will be sent by [*insert delivery procedure*].[[3]](#footnote-3)

5. Applications for prequalification should be submitted in clearly marked envelopes and delivered to the address below by [*insert time*] on [*insert date*]. 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**

**Works**

Procurement of:

*[insert identification of the Works]*

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

**Table of Contents**

[PART 1 – Prequalification Procedures 3](#_Toc454539089)

[Section I - Instructions to Applicants 5](#_Toc454539090)

[Section II - Prequalification Data Sheet (PDS) 23](#_Toc454539091)

[Section III - Qualification Criteria and Requirements 29](#_Toc454539092)

[Section IV - Application Forms 37](#_Toc454539093)

[Section V - Eligible Countries 55](#_Toc454539094)

[Section VI - Fraud and Corruption 57](#_Toc454539095)

[PART 2 – Works’ Requirements 59](#_Toc454539096)

[Section VII - Scope of Works 61](#_Toc454539097)

PART 1 – Prequalification Procedures

Section I - Instructions to Applicants

**Contents**

[A. General 7](#_Toc473817462)

[1. Scope of Application 7](#_Toc473817463)

[2. Source of Funds 7](#_Toc473817464)

[3. Fraud and Corruption 7](#_Toc473817465)

[4. Eligible Applicants 8](#_Toc473817466)

[5. Eligibility 10](#_Toc473817467)

[B. Contents of the Prequalification Document 11](#_Toc473817468)

[6. Sections of Prequalification Document 11](#_Toc473817469)

[7. Clarification of Prequalification Document and Pre-Application Meeting 11](#_Toc473817470)

[8. Amendment of Prequalification Document 12](#_Toc473817471)

[C. Preparation of Applications 13](#_Toc473817472)

[9. Cost of Applications 13](#_Toc473817473)

[10. Language of Application 13](#_Toc473817474)

[11. Documents Comprising the Application 13](#_Toc473817475)

[12. Application Submission Letter 13](#_Toc473817476)

[13. Documents Establishing the Eligibility of the Applicant 13](#_Toc473817477)

[14. Documents Establishing the Qualifications of the Applicant 13](#_Toc473817478)

[15. Signing of the Application and Number of Copies 14](#_Toc473817479)

[D. Submission of Applications 14](#_Toc473817480)

[16. Sealing and Marking of Applications 14](#_Toc473817481)

[17. Deadline for Submission of Applications 14](#_Toc473817482)

[18. Late Applications 15](#_Toc473817483)

[19. Opening of Applications 15](#_Toc473817484)

[E. Procedures for Evaluation of Applications 15](#_Toc473817485)

[20. Confidentiality 15](#_Toc473817486)

[21. Clarification of Applications 15](#_Toc473817487)

[22. Responsiveness of Applications 16](#_Toc473817488)

[23. Margin of Preference 16](#_Toc473817489)

[24. Subcontractors 16](#_Toc473817490)

[F. Evaluation of Applications and Prequalification of Applicants 17](#_Toc473817491)

[25. Evaluation of Applications 17](#_Toc473817492)

[26. Employer’s Right to Accept or Reject Applications 20](#_Toc473817493)

[27. Prequalification of Applicants 20](#_Toc473817494)

[28. Notification of Prequalification 20](#_Toc473817495)

[29. Request for Bids 20](#_Toc473817496)

[30. Changes in Qualifications of Applicants 21](#_Toc473817497)

[31. Procurement Related Complaint 21](#_Toc473817498)

**Section I - Instructions to Applicants**

## A. General

|  |  |
| --- | --- |
| 1. Scope of Application | 1.1 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 (“Prequalification Document”) to prospective applicants (“Applicants”) interested in submitting applications (“Applications”) for prequalification to bid for the Works described in Section VII (Scope of Works). In case the Works are to be bid as individual contracts (i.e., the slice and package procedure), these are listed **in the PDS**. The Request for Bids (RFB) number corresponding to this prequalification is also provided **in the PDS.** |
| 2. Source of Funds | 1. 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(s) resulting from the Bidding for which this prequalification is conducted. 2. 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). |
| 3. Fraud and Corruption | 1. 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. 2. 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. |
| 4. Eligible Applicants | 4.1 Applicants shall meet the eligibility criteria as per this ITA and ITA 5.1 and 5.2.  4.2 An Applicant may be a firm that is a private entity, a state-owned enterprise or institution subject to ITA 4.8 or any combination of such entities in the form of a joint venture (“JV”) under an existing agreement or with the intent to enter into such an agreement supported by a letter of intent. In the case of a joint venture, all members shall be jointly and severally liable for the execution of the entire Contract in accordance with the Contract terms. The JV shall nominate a Representative who shall have the authority to conduct all business for and on behalf of any and all the members of the JV during the prequalification process, Bidding (in the event the JV submits a Bid) and during contract execution (in the event the JV is awarded the Contract).Unless specified **in the PDS**, there is no limit on the number of members in a JV. |
|  | 4.3 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.[[4]](#footnote-4)  4.4 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 subcontractor 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. |
|  | 4.5 An Applicant may have the nationality of any country, subject to the restrictions pursuant to ITA 5.1 and 5.2. An Applicant shall be deemed to have the nationality of a country if the Applicant is constituted, incorporated or registered in and operates in conformity with the provisions of the laws of that country, as evidenced by its articles of incorporation (or equivalent documents of constitution or association) and its registration documents, as the case may be. This criterion also shall apply to the determination of the nationality of proposed specialized sub-contractors or suppliers for any part of the Contract including related Services. |
|  | 4.6 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 design or technical specifications or have been hired or proposed to be hired by the Employer or Borrower as Engineer for contract implementation of the Works that are the subject of this prequalification. 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 Request for Bids (RFB) 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 prequalification, RFB process and execution of the Contract. |
|  | 4.7 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. |
|  | 4.8 Applicants that are state-owned enterprise or institutions in the Employer’s Country may be eligible to prequalify, 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. |
|  | 4.9 An Applicant shall not be under suspension from Bidding by the Employer as the result of the execution of a Bid/Proposal–Securing Declaration. |
|  | 4.10 An Applicant shall provide such documentary evidence of eligibility satisfactory to the Employer, as the Employer shall reasonably request. |
|  | 4.11 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. |
| 5. Eligibility | 1. Firms and individuals may be ineligible if they are nationals of ineligible countries as indicated in Section V. The countries, persons or entities are ineligible if: 2. 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 supply of goods or the contracting of works or services required; or 3. 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 or contracting of works or services from that country, or any payments to any country, person, or entity in that country. 4. When the Works are implemented across jurisdictional boundaries (and more than one country is a Borrower, and is involved in the procurement), then exclusion of a firm or individual on the basis of ITA 5.1(a) above by any country may be applied to that procurement across other countries involved, if the Bank and the Borrowers involved in the procurement agree. |
|  | B. Contents of the Prequalification Document |
| 6. Sections of Prequalifica­tion Document | 6.1 This Prequalification Document consists of parts 1 and 2 which comprise all the sections indicated below, and which should be read in conjunction with any Addendum issued in accordance with ITA 8. |
|  | **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 Works Requirements**   * Section VII - Scope of Works |
|  | 6.2 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. |
|  | 6.3 The Applicant is expected to examine all instructions, forms, and terms in the Prequalification Document and to furnish with its Application all information or documentation as is required by the Prequalification Document. |
| 7. Clarification of Prequali­fication Document and Pre-Application Meeting | 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 the applications. The Employer shall forward a copy of its response to all prospective Applicants who have obtained 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. |
| 8. Amendment of Prequalifica­tion Document | 8.1 At any time prior to the deadline for submission of Applications, the Employer may amend the Prequalification Document by issuing an Addendum. |
|  | 8.2 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**. |
|  | 8.3 To give 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 in accordance with ITA 17.2. |
|  | C. Preparation of Applications |
| 9. Cost of Applications | 9.1 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. |
| 10. Language of 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. |
| 11. Documents Comprising the Application | 11.1 The Application shall comprise the following:  (a) **Application Submission Letter**, in accordance with ITA 12.1;  (b) **Eligibility:** documentary evidence establishing the Applicant’s eligibility, in accordance with ITA 13.1;  (c) **Qualifications:** documentary evidence establishing the Applicant’s qualifications, in accordance with ITA 14; and  (d) any other document required as specified **in the** **PDS**.  11.2 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 |
| 12. Application Submission Letter | 12.1 The Applicant shall complete an Application Submission Letter as provided in Section IV (Application Forms). This Letter must be completed without any alteration to its format. |
| 13. Documents Establishing the Eligibility of the Applicant | 13.1 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). |
| 14. Documents Establishing the Qualifications of the Applicant | 14.1 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).  14.2 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 construction turnover or 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. |
| 15. Signing of the Application and Number of Copies | 15.1 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.  15.2 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. |
|  | D. Submission of Applications |
| 16. Sealing and Marking of Applications | 16.1 The Applicant shall enclose the original and the copies of the Application in a sealed envelope that shall:  (a) bear the name and address of the Applicant;  (b) be addressed to the Employer, in accordance with ITA 17.1; and  (c) bear the specific identification of this prequalification process indicated **in the PDS** 1.1. |
|  | 16.2 The Employer will accept no responsibility for not processing any envelope that was not identified as required in ITA 16.1 above. |
| 17. Deadline for Submission of Applications | 17.1 Applicants may either submit their Applications by mail or by hand. Applications shall be received by the Employer at the address and no later than the deadline indicated **in the** **PDS.** When so specified **in the PDS,** Applicants have the option of submitting their Applications electronically, in accordance with electronic Application submission procedures specified **in the** **PDS.** |
|  | 17.2 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. |
| 18. Late Applications | 18.1 The Employer reserves the right to accept applications received after the deadline for submission of applications, unless otherwise specified **in the** **PDS**. |
| 19. Opening of Applications | 19.1 The Employer shall open all Applications at the date, time and place specified **in the PDS**. Late Applications shall be treated in accordance with ITA 18.1.  19.2 Applications submitted electronically (if permitted pursuant to ITA 17.1) shall be opened in accordance with the procedures specified **in the PDS.**  19.3 The Employer shall prepare a record of the opening of Applications to include, as a minimum, the name of the Applicants. A copy of the record shall be distributed to all Applicants. |
|  | E. Procedures for Evaluation of Applications |
| 20. Confidential­ity | 20.1 Information relating to the Applications, their evaluation and results of the prequalification shall not be disclosed to Applicants or any other persons not officially concerned with the prequalification process until the notification of prequalification results is made to all Applicants in accordance with ITA 28. |
|  | 20.2 From the deadline for submission of Applications to the time of notification of the results of the prequalification in accordance with ITA 28. any Applicant that wishes to contact the Employer on any matter related to the prequalification process may do so only in writing. |
| 21. Clarification of Applications | 21.1 To assist in the evaluation of Applications, the Employer may, at its discretion, ask an Applicant for a clarification (including missing documents) of its Application, to be submitted within a stated reasonable period of time. Any request for clarification from the Employer and all clarifications from the Applicant 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. Responsive­ness of Applications | 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. |
| 23. Margin of Preference | 23.1 Unless otherwise specified **in the** **PDS,** a margin of preference for domestic bidders[[5]](#footnote-5) shall not apply in the Bidding processresulting from this prequalification. |
| 24. Subcontrac­tors | 24.1 Unless otherwise stated **in the** **PDS,** the Employer does not intend to execute any specific elements of the Works by sub-contractors selected in advance by the Employer (so-called “Nominated Subcontractors”)**.**  24.2 The Applicant shall not propose to subcontract the whole of the Works. The Employer, in ITA 25.2, may permit the Applicant to propose subcontractors for certain specialized parts of the work as indicated therein as (“Specialized Subcontractors”). Applicants planning to use such Specialized Subcontractors shall specify, in the Application Submission Letter, the activity(ies) or parts of the Works proposed to be subcontracted along with details of the proposed subcontractors including their qualification and experience. |
|  | F. Evaluation of Applications and Prequalification of Applicants |
| 25. Evaluation of Applications | 25.1 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, and no other methods, criteria, or requirements shall be used. The Employer reserves the right to waive minor deviations from the qualification criteria if they do not materially affect the technical capability and financial resources of an Applicant to perform the Contract. |
|  | 25.2 Subcontractors proposed by the Applicant shall be fully qualified for their parts of the Works. The subcontractor’s qualifications shall not be used by the Applicant to qualify for the Works unless their parts of the Works were previously designated by the Employer **in the PDS** as can be met by Specialized Subcontractors, in which case, the qualifications of the Specialized Subcontractor proposed by the Applicant may be added to the qualifications of the Applicant for the purpose of the evaluation. |
|  | 25.3 In case of multiple contracts, Applicants should indicate in their Applications the individual contract or combination of contracts in which they are interested. The Employer shall prequalify each Applicant for the maximum combination of contracts for which the Applicant has thereby indicated its interest and for which the Applicant meets the appropriate aggregate requirements. The qualification criteria and requirements are specified in Section III.  25.4 However, with respect to the specific experience under item Section III (Qualification Criteria and Requirements), 4.2 (a) , the Employer will select any one or more of the options as identified below:  **N** is the minimum number of contracts  **V** is the minimum value of a single contract.  **(a) Prequalification for one Contract**:  Option 1: (i) N contracts, each of minimum value V;  **Or**  Option 2: (i) N contracts, each of minimum value V,  **Or**  (ii) Less than or equal to N contracts, each of minimum value V, but with total value of all contracts equal or more than N x V  **(b) Prequalification for Multiple Contracts**  Option 1: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the Applicant has applied for as follows, and N1, N2, N3, etc. shall be different contracts:  **Lot 1:** N1 contracts, each of minimum value V1;  **Lot 2:** N2 contracts, each of minimum value V2;  **Lot 3:** N3 contracts, each of minimum value V3; ----etc.  **Or**  Option 2: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the Applicant has applied for as follows, and N1, N2, N3, etc. shall be different contracts:  **Lot 1**: N1 contracts, each of minimum value V1;  **Lot 2**: N2 contracts, each of minimum value V2;  **Lot 3**: N3 contracts, each of minimum value V3; ----etc,  **Or**  (ii) **Lot 1:** N1 contracts, each of minimum value V1; or number of contracts less than or equal to N1, each of minimum value V1, but with total value of all contracts equal or more than N1 x V1  **Lot 2:** N2 contracts, each of minimum value V2; or number of contracts less than or equal to N2, each of minimum value V2, but with total value of all contracts equal or more than N2 x V2  **Lot 3:** N3 contracts, each of minimum value V3; or number of contracts less than or equal to N3, each of minimum value V3, but with total value of all contracts equal or more than N3 x V3 ----etc.  **Or**  Option 3: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the Applicant has applied for as follows, and N1, N2 ,N3, etc. shall be different contracts:  **Lot 1:** N1 contracts, each of minimum value V1;  **Lot 2:** N2 contracts, each of minimum value V2;  **Lot 3:** N3 contracts, each of minimum value V3; ----etc,  **Or**  (ii) **Lot 1:** N1 contracts, each of minimum value V1; or number of contracts less than or equal to N1, each of minimum value V1, but with total value of all contracts equal or more than N1 x V1  **Lot 2:** N2 contracts, each of minimum value V2; or number of contracts less than or equal to N2, each of minimum value V2, but with total value of all contracts equal or more than N2 x V2  **Lot 3:** N3 contracts, each of minimum value V3; or number of contracts less than or equal to N3, each of minimum value V3, but with total value of all contracts equal or more than N3 x V3 ----etc,  **Or**  (iii) Subject to compliance as per (ii) above with respect to minimum value of single contract for each lot, total number of contracts is equal or less than N1 + N2 + N3 +--but the total value of all such contracts is equal or more than N1 x V1 + N2 x V2 + N3 x V3 +---.  25.5 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 25.2 above) or any other firm(s) different from the Applicant shall not be considered. |
| 26. Employer’s Right to Accept or Reject Applications | 26.1 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 the Applicants. |
| 27. Prequalification of Applicants | 27.1 All Applicants whose Applications substantially meet or exceed the specified qualification requirements will be prequalified by the Employer.  27.2 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.  27.3 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. |
| 28. Notification of Prequalification | 28.1 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.  28.2 Applicants that have not been prequalified may write to the Employer to request, in writing, the grounds on which they were disqualified. |
| 29. Request for Bids | 29.1 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. |
|  | 29.2 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.  29.3 The successful Bidder shall be required to provide a Performance Security as specified in the bidding document.  29.4 If applicable, the successful Bidder shall be required to provide a separate Environmental, Social, Health and Safety (ESHS) Performance Security.  29.5 Bidders shall be required to provide the Code of Conduct which will apply to their employees and sub-contractors to ensure compliance with the Environmental, Social, Health and Safety (ESHS) requirements.  29.6 Bidders shall be required to submit management strategies and implementation plans to ensure compliance with key Environmental, Social, Health and Safety (ESHS) requirements. |
| 30. Changes in Qualifications of Applicants | 30.1 Any change in the structure or formation of an Applicant after being prequalified in accordance with ITA 27 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 whose qualifications were considered to prequalify the Applicant) shall be subject to the 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) in the opinion of the Employer, the change may result in a substantial reduction in competition. Any such change should be submitted to the Employer not later than fourteen (14) days after the date of the Request for Bids. |
| 31. Procurement Related Complaint | 31.1 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]*  The list of contracts is: *[insert number, names and identification numbers. If the works has not been divided into contracts, add the name of the works]*  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** | | Loan or Financing Agreement amount: *[insert US$ equivalent****]*** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **ITA 2.1** | | The name of the Project is: *[insert name of Project]* |
| **ITA 4.2** | | Maximum number of members 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 ITA1.1 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]* | |
| **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 date when the documents are available for distribution or the date of the advertisement, whichever is later. 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]*  Email 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** | *[The following provision should be included and the required corresponding information inserted only if the Procurement Plan authorizes the application of a margin of preference and the Employer intends to apply it to the subject contract. Otherwise omit]*  A margin of domestic preference *[insert* *either “shall” or “shall not”*] *\_\_\_\_\_\_\_\_\_\_\_*apply | |
| **ITA 24.1** | At this time the Employer *[insert “intends” or “does not intend”]* to execute certain specific parts of the Works by sub-contractors selected in advance.  *[If the above states “intends” list the specific parts of the works and the respective sub-contractors]* | |
| **ITA 25.2** | *[Indicate N/A if there are no parts of the Works requiring Specialized Subcontractors]*  The parts of the Works for which the Employer permits Applicants to propose Specialized Subcontractors are designated as follows:   1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   For the above-designated parts of the Works that may require Specialized Subcontractors, the relevant qualifications of the proposed Specialized Subcontractors will be added to the qualifications of the Applicant for the purpose of evaluation. | |
| **ITA 31.1** | 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.

**Contents**

[1. Eligibility 30](#_Toc473817438)

[2. Historical Contract Non-Performance 31](#_Toc473817439)

[3. Financial Situation and Performance 32](#_Toc473817440)

[4. Experience 33](#_Toc473817441)

| **Eligibility and Qualification Criteria** | | | **Compliance Requirements** | | | | **Document/**  **Form** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Subject** | **Requirement** | **Single Entity** | **Joint Venture (existing or intended)** | | | **Submission Requirement** |
| **All Members Combined** | **Each Member** | **One Member** |
| 1. Eligibility | | | | | | | |
| 1.1 | **Nationality** | Nationality in accordance with ITA 4.5 | Must meet requirement | 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 accordance with ITA 4.6 | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Application Submission Letter |
| 1.3 | **Bank Eligibility** | Not having been declared ineligible by the Bank, as described in ITA 4.7 and 5.1 | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Application Submission Letter |
| 1.4 | **State-owned Entity of the Borrower Country** | Applicant required to meet conditions of ITA 4.8 | 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 prohibition in the Borrower’s country laws or official regulations against commercial relations with the Applicant’s country, or by an act of compliance with UN Security Council resolution, both in accordance with ITA 5.1 and 5.2 and Section V. | 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** | | | | **Document/**  **Form** | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Subject** | **Requirement** | **Single Entity** | **Joint Venture (existing or intended** | | | **Submission Requirement** | |
| **All Members Combined** | **Each Member** | **One Member** |
| 2. Historical Contract Non-Performance | | | | | | | | |
| 2.1 | **History of Non-Performing Contracts** | Non-performance of a contract[[6]](#footnote-6) did not occur as a result of contractor’s default since 1st January *[insert year]*. | Must meet requirement1 | Must meet requirements | Must meet requirement[[7]](#footnote-7) | N/A | Form CON-2 | |
| 2.2 | **Suspension Based on Execution of Bid/Proposal Securing Declaration by the Employer** | Not under suspension based on execution of a Bid/Proposal Securing Declaration pursuant to ITA 4.9. | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Application Submission Letter | |
| 2.3 | **Pending Litigation** | Applicant’s financial position and prospective long term profitability still sound according to criteria established in 3.1 below and assuming that all pending litigation will be resolved against the Applicant | Must meet requirement | N/A | Must meet requirement | N/A | Form CON – 2 | |
| 2.4 | **Litigation History** | No consistent history of court/arbitral award decisions against the Applicant[[8]](#footnote-8) since 1st January *[insert year]* | Must meet requirement | Must meet requirement | Must meet requirement | N/A | Form CON – 2 | |
| 2.5 | **Declaration: Environmental, Social, Health, and Safety (ESHS) past performance** | Declare any civil work contracts that have been suspended or terminated and/or performance security called by an employer for reasons related to the non-compliance of any environmental, or social, or health or safety requirements or safeguard in the past five years[[9]](#footnote-9). | Must make the declaration. Where there are Specialized Sub-contractor/s, the Specialized Sub-contractor/s must also make the declaration | N/A | Each must make the declaration. Where there are Specialized Sub-contractor/s, the Specialized Sub-contractor/s must also make the declaration. | N/A | Form CON-3 ESHS Performance Declaration | |
| 3. Financial Situation and 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 construction cash flow requirements estimated as USD $ *[insert amount in US$]* for the subject contract(s) net of the Applicants other commitments  (ii) The Applicant shall also demonstrate, to the satisfaction of the Employer, that it has adequate sources of finance to meet the cash flow requirements on works currently in progress and for future contract commitments.  (iii) The audited balance sheets or, if not required by the laws of the Applicant’s country, other financial statements acceptable to the Employer, for the last *[insert number]* years shall be submitted and must demonstrate the current soundness of the Applicant’s financial position and indicate its prospective long-term profitability. | Must meet requirement  Must meet requirement  Must meet requirement | Must meet requirement  Must meet requirement  N/A | N/A  N/A  Must meet requirement | N/A  N/A  N/A | Form FIN – 3.1, with attachments | |
| 3.2 | **Average Annual Construction Turnover** | Minimum average annual construction turnover of US$ *[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 | |
| 4. Experience | | | | | | | | |
| 4.1 (a) | **General Construction Experience** | Experience under construction contracts in the role of prime contractor, JV member, subcontractor, or management contractor for at least the last *[insert number]* years, starting 1st January \_\_\_\_\_ *[insert year]*. | Must meet requirement | N/A | Must meet requirement | N/A | | Form EXP – 4.1 |
| 4.2 (a) | **Specific Construction & Contract Management Experience** | (i) A minimum number of *[state the number]* similar contracts specified below that have been satisfactorily and substantially[[10]](#footnote-10) completed as a prime contractor, joint venture member [[11]](#footnote-11), management contractor or subcontractor between 1st January *[insert year]* and Application submission deadline:  *(i) N contracts, each of minimum value V;*  *Or*  *(ii) Less than or equal to N contracts, each of minimum value V, but with total value of all contracts equal or more than N x V; [insert values of N & V, delete (ii) above if not applicable].*  *[In case the Works are to be bid as individual contracts under a slice and package (multiple contract) procedure, the minimum number of contracts required for purposes of evaluating qualification shall be selected from the options mentioned in ITA 25.3b]*  The similarity of the contracts shall be based on the following: *[Based on Section VII, Scope of Works, specify the minimum key requirements in terms of physical size, complexity, construction method, technology and/or other characteristics including part of the requirements that may be met by Specialized Subcontractors, if permitted in accordance with ITA 25.2]* | Must meet requirement | Must meet requirement[[12]](#footnote-12) | N/A | Must meet the following requirements for the key activities listed below *[list key activities and the corresponding minimum requirements to be met by one member otherwise state: ”N/A”]* | | Form EXP 4.2(a) |
| 4.2 (b) |  | For the above and any other contracts [substantially completed and under implementation] as prime contractor, joint venture member, or sub-contractor between 1st January *[insert year]* and Application submission deadline, a minimum construction experience in the following key activities successfully completed[[13]](#footnote-13): *[list key activities indicating volume, number or rate of production as applicable.*  *Under 4.2(a), specified requirements define similarity of contracts, whereas the key activities or production rates to be specified under 4.2 (b) define the required capability of the Applicant to execute the Works. There shall not be any inconsistency or repetition of requirement between 4.2(a) and 4.2(b).For the rate of production, specify that the rate of production shall be on the basis of either the average during the entire specified period OR the rate of annual production in any 12 month period in the specified period****,*** *][[14]](#footnote-14)* | Must meet requirements *[Specify activities that may be met through a specialized subcontractor, if permitted in accordance with ITA 25.2]* | Must meet requirements  *[Specify activities that may be met through a Specialized Subcontractor, if permitted in accordance with ITA 25.2*] | N/A | Must meet the following requirements for key activities listed below *[****if applicable, out of the key activities in the first column of this 4.2 b),*** *list key activities (volume, number or rate of production as applicable) and the corresponding minimum requirements that have to be met by one member,* ***otherwise this cell should state: “N/A”.]*** | | Form EXP – 4.2 (b) |

Section IV - Application Forms

**Table of Forms**

[Application Submission Letter 38](#_Toc473817417)

[Applicant Information Form 40](#_Toc473817418)

[Applicant's JV Information Form 41](#_Toc473817419)

[Historical Contract Non-Performance, and Pending Litigation and Litigation History 42](#_Toc473817420)

[ESHS Performance Declaration 44](#_Toc473817421)

[Financial Situation and Performance 46](#_Toc473817422)

[Average Annual Construction Turnover 48](#_Toc473817423)

[General Construction Experience 49](#_Toc473817424)

[Construction Experience in Key Activities 52](#_Toc473817425)

Application Submission Letter

Date: *[insert day, month, and 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:

(a) **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].*

(b) **No conflict of interest:** We have no conflict of interest in accordance with ITA 4;

(c) **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 4.9;

1. **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;
2. **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*];

(f) **Subcontractors and Specialized Subcontractors:** We, in accordance with ITA 24.2 and 25.2, plan to subcontract the following key activities and/or parts of the works:

*[Insert any of the key activities identified in Section III - 4.2(a) or (b) which the Employer has permitted under the Prequalification Document and which the Applicant intends to subcontract along with complete details of the Specialized Subcontractors, their qualification and experience]*

(g) **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]*

(h) **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 26.1.

(i) **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 an 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 name  *[insert full name]* |
| In case of Joint Venture (JV), name of each member:  *[insert full name of each member in JV]* |
| Applicant's actual or intended country of registration:  *[indicate country of Constitution]* |
| Applicant's actual or intended year of incorporation:  *[indicate year of Constitution]* |
| Applicant's legal address [in country of registration]:  *[insert street/ number/ town or city/ country]* |
| Applicant's authorized representative information  Name: *[insert full 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]* |
| 1. Attached are copies of original documents of  🞎 Articles of Incorporation (or equivalent documents of constitution or association), and/or documents of registration of the legal entity named above, in accordance with ITA 4.5.  🞎 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 Subcontractor 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

|  |
| --- |
| Applicant name:  *[insert full 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 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]* |
| 1. Attached are copies of original documents of  🞎 Articles of Incorporation (or equivalent documents of constitution or association), and/or registration documents of the legal entity named above, in accordance with ITA 4.5.  🞎 In case of a state-owned enterprise or institution, documents establishing legal and financial autonomy, operation in accordance with commercial law, and they 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 and Litigation History

*[The following table 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’s Name: *[insert* *full name]*RFB No. and title: *[insert RFB number and title]*Page *[insert page number]* of *[insert total number]* pages

|  |  |  |  |
| --- | --- | --- | --- |
| Non-Performed Contracts in accordance with Section III, Qualification Criteria and  Requirements | | | |
| 🞎 Contract non-performance did not occur since 1st January *[insert year]* specified in Section III, Qualification Criteria and Requirements, Sub-Factor 2.1.  🞎 Contract(s) not performed since 1st January *[insert year]* specified in Section III, Qualification Criteria and Requirements, requirement 2.1 | | | |
| **Year** | **Non- performed portion of contract** | **Contract Identification** | **Total Contract Amount (current value, currency, exchange rate and 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 of dispute** | **Amount in dispute (currency)** | **Contract Identification** | **Total Contract Amount (currency), USD Equivalent (exchange rate)** |
| *[insert year]* | *[insert amount]* | 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]*  Party who initiated the dispute: *[indicate “Employer” or “Contractor”]*  Status of dispute: *[Indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]* | *[insert amount]* |
| Litigation History in accordance with Section III, Qualification Criteria and  Requirements | | | |
| 🞎 No Litigation History in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.4.  🞎 Litigation History in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.4 as indicated below. | | | |
| **Year of award** | **Outcome as percentage of Net Worth** | **Contract Identification** | **Total Contract Amount (currency), USD Equivalent (exchange rate)** |
| *[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]*  Party who initiated the dispute: *[indicate “Employer” or “Contractor”]*  Reason(s) for Litigation and award decision *[indicate main reason(s)]* | *[insert amount]* |

**Form CON – 3**

ESHS Performance Declaration

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

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

|  |  |  |  |
| --- | --- | --- | --- |
| **Environmental, Social, Health, and Safety Performance Declaration**  **in accordance with Section III, Qualification Criteria, and Requirements** | | | |
| 🞎 **No suspension or termination of contract**: An employer has not suspended or terminated a contract and/or called the performance security for a contract for reasons related to Environmental, Social, Health, or Safety (ESHS) performance since the date specified in Section III, Qualification Criteria, and Requirements, Sub-Factor 2.5.  🞎 **Declaration of suspension or termination of contract**: The following contract(s) has/have been suspended or terminated and/or Performance Security called by an employer(s) for reasons related to Environmental, Social, Health, or Safety (ESHS) performance since the date specified in Section III, Qualification Criteria, and Requirements, Sub-Factor 2.5. Details are described below: | | | |
| **Year** | **Suspended or terminated portion of contract** | **Contract Identification** | **Total Contract Amount (current value, currency, exchange rate and 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 suspension or termination: *[indicate main reason(s)]* | *[insert amount]* |
| *[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 suspension or termination: *[indicate main reason(s)]* | *[insert amount]* |
| *…* | *…* | *[list all applicable contracts]* | *…* |
| **Performance Security called by an employer(s) for reasons related to ESHS performance** | | | |
| Year | Contract Identification | | Total Contract Amount (current value, currency, exchange rate and US$ equivalent) |
| *[insert year]* | 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 calling of performance security: *[indicate main reason(s)]* | | *[insert amount]* |
|  |  | |  |

**Form FIN – 3.1**

Financial Situation and Performance

*[The following table 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]*RFB No. and title: *[insert RFB number and title]*Page *[insert page number]* of *[insert total number]* pages

**1. Financial data**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Type of Financial information in**  **(currency)** | **Historic information for previous** *\_[insert number] years,*  *[insert in words]*  **(amount in currency, currency, exchange rate\*, USD equivalent)** | | | | |
|  | Year 1 | Year 2 | Year 3 | Year4 | Year 5 |
| Statement of Financial Position (Information from Balance Sheet) | | | | | |
| Total Assets (TA) |  |  |  |  |  |
| Total Liabilities (TL) |  |  |  |  |  |
| Total Equity/Net Worth (NW) |  |  |  |  |  |
| Current Assets (CA) |  |  |  |  |  |
| Current Liabilities (CL) |  |  |  |  |  |
| Working Capital (WC) |  |  |  |  |  |
| Information from Income Statement | | | | | |
| Total Revenue (TR) |  |  |  |  |  |
| Profits Before Taxes (PBT) |  |  |  |  |  |
| Cash Flow Information | | | | | |
| Cash Flow from Operating Activities |  |  |  |  |  |

\* Refer ITA 14 for the exchange rate

**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 works currently in progress and for future contract commitments.

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

**3. Financial documents**

The Applicant and its parties shall provide copies of financial statements for *[number]* years pursuant Section III, Qualifications Criteria and Requirements, Sub-factor 3.1. The financial statements shall:

(a) reflect the financial situation of the Applicant or in case of JV member, and not an affiliated entity (such as parent company or group member).

(b) be independently audited or certified in accordance with local legislation.

(c) be complete, including all notes to the financial statements.

(d) correspond to accounting periods already completed and audited.

🞎 Attached are copies of financial statements[[15]](#footnote-15) for the *[number]* years required above; and complying with the requirements

**Form FIN - 3.2**

Average Annual Construction Turnover

*[The following table 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]*RFB No. and title: *[insert RFB number and title]*Page *[insert page number]* of *[insert total number]* pages

|  |  |  |  |
| --- | --- | --- | --- |
| **Annual turnover data (construction only)** | | | |
| **Year** | **Amount**  **Currency** | **Exchange rate\*** | **USD equivalent** |
| *[indicate calendar year]* | *[insert amount and indicate currency]* |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  | | Average Annual Construction Turnover \*\* |  |

\* Refer ITA 14 for date and source of exchange rate.

\*\* Total USD equivalent for all years divided by the total number of years. See Section III, Qualification Criteria and Requirements, 3.2.

**Form EXP - 4.1**

General Construction Experience

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

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

*[Identify contracts that demonstrate continuous construction 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**  **Year** | **Ending**  **Year** | **Contract Identification** | **Role of**  **Applicant** |
| *[indicate year]* | *[indicate year]* | Contract name: *[insert full name]*  Brief Description of the Works performed by the  Applicant: *[describe works performed briefly]*  Amount of contract: *[insert amount in currency, mention currency used, exchange rate and US$ equivalent\*]*  Name of Employer: *[indicate full name]*  Address: *[indicate street/number/town or city/country]* | *[insert "Prime Contractor” or “JV Member” or "Sub-contractor” or "Management Contractor”]* |
|  |  | Contract name: *[insert full name]*  Brief Description of the Works performed by the  Applicant: *[describe works performed briefly]*  Amount of contract: *[insert amount in currency, mention currency used, exchange rate and US$ equivalent\*]*  Name of Employer: *[indicate full name]*  Address: *[indicate street/number/town or city/country]* | *[insert "Prime Contractor” or “JV Member” or "Sub-contractor” or "Management Contractor”]* |
|  |  | Contract name: *[insert full name]*  Brief Description of the Works performed by the  Applicant: *[describe works performed briefly]*  Amount of contract: *[insert amount in currency, mention currency used, exchange rate and US$ equivalent\*]*  Name of Employer: *[indicate full name]*  Address: *[indicate street/number/town or city/country]* | *[insert "Prime Contractor” or “JV Member” or "Sub-contractor” or "Management Contractor”]* |

\* Refer ITA 14 for date and source of exchange rate.

**Form EXP - 4.2(a)**

**Specific Construction and Contract Management Experience**

*[The following table shall be filled in for contracts performed by the Applicant, each member of a Joint Venture, and Specialized Sub-contractors]*

Applicant’s 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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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, e.g., 15 June, 2015]* | | | | |
| Completion date | *[insert day, month, year, e.g., 03 October, 2017]* | | | | |
| Role in Contract  *[check the appropriate box]* | Prime Contractor 🞎 | | Member in  JV  🞎 | Management Contractor  🞎 | Sub-contractor 🞎 |
| Total Contract Amount | *[insert total contract amount in local currency]* | | | US$ *[insert*  *Exchange rate and total contract amount in US$*  *equivalent]\** | |
| If member in a JV or sub-contractor, specify share in value in total Contract amount and roles and responsibilities | *[insert a percentage amount]* | *[insert total contract amount in local currency]* | | *[insert exchange rate and total contract amount in US$ equivalent]\** | |
| ***[insert roles and responsibilities]*** | | | | |
| 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]* | | | | |

\* Refer ITA 14 for date and source of exchange rate.

**Form EXP - 4.2(a) (cont.)**

**Specific Construction and Contract Management Experience (cont.)**

|  |  |
| --- | --- |
| **Similar Contract No.**  *[insert number]* of *[insert 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 local currency, exchange rate, US$ in words and in Figures]* |
| 2. Physical size of required works items | *[insert physical size of items]* |
| 3. Complexity | *[insert description of complexity]* |
| 4. Methods/Technology  5. Construction rate for key activities | *[insert specific aspects of the methods/technology involved in the contract]*  *[insert rates and items]* |
| 6. Other Characteristics | *[insert other characteristics as described in Section VII, Scope of Works]* |

**Form EXP - 4.2(b)**

Construction Experience in Key Activities

Applicant's Name: *[insert full name]*Date: *[insert day, month, year]*Applicant's JV Member’s Name: *[insert full name]*Sub-contractor's Name[[16]](#footnote-16) (as per ITA 24.2 and 24.3): *[insert full name]*RFB No. and title: *[insert RFB number and title]*

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

All Sub-contractors for key activities must complete the information in this form as per ITA 24.2 and 24.3 and Section III, Qualification Criteria and Requirements, 4.2.

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

Total Quantity of Activity under the contract: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **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]* | Prime Contractor  🞎 | Member in  JV  🞎 | | Management Contractor  🞎 | Sub-contractor  🞎 |
| Total Contract Amount | *[insert total contract amount in contract currency(ies)]* | | | US$ *[insert exchange rate and total contract amount in US$ equivalent]* | |
| Quantity (Volume, number or rate of production, as applicable) performed under the contract per year or part of the year  *[Insert extent of participation indicating actual quantity of key activity successfully completed in the role performed]* | Total quantity in the contract  (i) | | Percentage  participation  (ii) | | Actual Quantity Performed  (i) x (ii) |
| Year 1 |  | |  | |  |
| Year 2 |  | |  | |  |
| Year 3 |  | |  | |  |
| Year 4 |  | |  | |  |
| 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. …………………

|  |  |
| --- | --- |
|  | **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]* |
|  |  |
|  |  |
|  |  |
|  |  |

Section V - Eligible Countries

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

In reference to ITA 5.1 and 5.2, 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 5.1 (a): *[insert a list of the countries following approval by the Bank to apply the restriction or state “none”]*

Under ITA 5.1 (b): *[list the countries or state “none”]*

Section VI - Fraud and Corruption

(This 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;[[17]](#footnote-17) (ii) to be a nominated[[18]](#footnote-18) 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[[19]](#footnote-19) 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 – Works’ Requirements

Section VII - Scope of Works

**Contents**

[1. Description of the Works 62](#_Toc472326541)

[2. Construction Period 63](#_Toc472326542)

[3. Site and Other Data 64](#_Toc472326543)

[4. Environmental, Social, Health and Safety (ESHS) Requirement 65](#_Toc472326544)

1. Description of the Works

2. Construction Period

3. Site and Other Data

4. Environmental, Social, Health and Safety (ESHS) Requirement

*The Employer should use the services of a suitably qualified environmental, social, health and safety specialist/s to prepare the specifications for ESHS working with a procurement specialist/s.*

*The Employer should attach or refer to the Employer’s environmental, social, health and safety policies that will apply to the project. If these are not available, the Employer should use the following guidance in drafting an appropriate policy for the Works.*

**Suggested content for an Environmental and Social Policy**

*The Works’ policy goal, as a minimum, should be stated to integrate environmental protection, occupational and community health and safety, gender, equality, child protection, vulnerable people (including those with disabilities), gender-based violence (GBV), HIV/AIDS awareness and prevention and wide stakeholder engagement in the planning processes, programs, and activities of the parties involved in the execution of the Works. The Employer is advised to consult with the World Bank to agree the issues to be included which may also address: climate adaptation, land acquisition and resettlement, indigenous people*, etc. *The policy should set the frame for monitoring, continuously improving processes and activities and for reporting on the compliance with the policy.*

*The policy should, as far as possible, be brief but specific and explicit, and measurable, to enable reporting of compliance with the policy.*

*As a minimum, the policy is set out to the commitments to:*

1. *apply good international industry practice to protect and conserve the natural environment and to minimize unavoidable impacts;*
2. *provide and maintain a healthy and safe work environment and safe systems of work;*
3. *protect the health and safety of local communities and users, with particular concern for those who are disabled, elderly, or otherwise vulnerable;*
4. *ensure that terms of employment and working conditions of all workers engaged in the Works meet the requirements of the ILO labour conventions to which the host country is a signatory;*
5. *be intolerant of, and enforce disciplinary measures for illegal activities. To be intolerant of, and enforce disciplinary measures for GBV, child sacrifice, child defilement, and sexual harassment;*
6. *incorporate a gender perspective and provide an enabling environment where women and men have equal opportunity to participate in, and benefit from, planning and development of the Works;*
7. *work co-operatively, including with end users of the Works, relevant authorities, contractors and local communities;*
8. *engage with and listen to affected persons and organizations and be responsive to their concerns, with special regard for vulnerable, disabled, and elderly people;*
9. *provide an environment that fosters the exchange of information, views, and ideas that is free of any fear of retaliation;*
10. *minimize the risk of HIV transmission and to mitigate the effects of HIV/AIDS associated with the execution of the Works;*

*The policy should be signed by the senior manager of the Employer. This is to signal the intent that it will be applied rigorously.*

,

1. *If prequalification is being invited for more than one contract, describe each contract and indicate whether Applications may be made for prequalification for one or more of the contracts* [↑](#footnote-ref-1)
2. *Insert if applicable: “This contract will be jointly financed by [insert name of cofinancing agency]. Procurement process will be governed by the World Bank’s Procurement Regulations.”*  [↑](#footnote-ref-2)
3. *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 site(s) 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.* [↑](#footnote-ref-3)
4. If this Document is being used to prequalify Applicants for the Procurement of Plant, modify this provision in the PDS to reflect the “One Bid per Bidder” provision in the Bank’s Standard Procurement Document for Plant. [↑](#footnote-ref-4)
5. An individual firm is considered a domestic bidder for purposes of the margin of preference if it is registered in the country of the Employer, has more than 50 percent ownership by nationals of the country of the Employer, and if it does not subcontract more than 10 percent of the contract price, excluding provisional sums, to foreign contractors. JVs are considered as domestic Bidders and eligible for domestic preference only if the individual member firms are registered in the country of the Employer, have more than 50 percent ownership by nationals of the country of the Employer, and the JV shall be registered in the country of the Borrower. The JV shall not subcontract more than 10 percent of the contract price, excluding provisional sums, to foreign firms. JVs between foreign and national firms will not be eligible for domestic preference. [↑](#footnote-ref-5)
6. Nonperformance, as decided by the Employer, shall include all contracts where (a) nonperformance was not challenged by the contractor, including through referral to the dispute resolution mechanism under the respective contract, and (b) contracts that were so challenged but fully settled against the contractor. Nonperformance shall not include contracts where Employers decision was overruled by the dispute resolution mechanism. Nonperformance 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. [↑](#footnote-ref-6)
7. This requirement also applies to contracts executed by the Applicant as JV member. [↑](#footnote-ref-7)
8. The Applicant shall provide accurate information on the related Application Form about any litigation or arbitration resulting from contracts completed or ongoing under its execution over the last five years. A consistent history of awards against the Applicant or any member of a joint venture may result in rejection of the Application. [↑](#footnote-ref-8)
9. The Employer may use this information to seek further information or clarifications during the bidding stage and the associated due diligence. [↑](#footnote-ref-9)
10. Substantial completion shall be based on 80% or more works completed under the contract. [↑](#footnote-ref-10)
11. 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-11)
12. In the case of JV, the value of contracts completed by its members shall not be aggregated to determine whether the requirement of the minimum value of a single contract has been met. Instead, each contract performed by each member shall satisfy the minimum value of a single contract as required for single entity. In determining whether the JV meets the requirement of total number of contracts, only the number of contracts completed by all members each of value equal or more than the minimum value required shall be aggregated. [↑](#footnote-ref-12)
13. Volume, number or rate of production of any key activity can be demonstrated in one or more contracts combined if executed during same time period.  [↑](#footnote-ref-13)
14. The minimum experience requirement for multiple contracts will be the sum of the minimum requirements for respective individual contracts, unless specified otherwise. [↑](#footnote-ref-14)
15. If the most recent set of financial statements is for a period earlier than 12 months from the date of Application, the reason for this should be justified. [↑](#footnote-ref-15)
16. If applicable [↑](#footnote-ref-16)
17. 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-17)
18. 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-18)
19. 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-19)