

GOVERNMENT OF KARNATAKA

.....
(Name of Organization)
.....
.....
.....
(Address)

Telephones:

Fax:.....

PREQUALIFICATION FOR THE WORK OF

.....
.....
.....
(Description of Works)

TENDER REFERENCE :
PERIOD OF SALE OF P Q DOCUMENT : From To.....
LAST DATE FOR SALE OF PQ DOCUMENT :
LAST DATE AND TIME FOR RECEIPT OF
PQ APPLICATIONS :
TIME AND DATE OF OPENING OF PQ APPLICATIONS :
PLACE OF OPENING OF PQ APPLICATIONS :
ADDRESS FOR COMMUNICATION :

Note: All the footnotes and other instructions given in Italics within brackets should be deleted in the final text.

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ABBREVIATIONS AND ACRONYMS

BOQ	Bill of Quantities
GCOC	General Conditions of Contract
GITA	General Instructions to Applicants, in the SPD
IF	Information Forms
IFT	Invitation for Tenders
IFP	Invitation for Pre-qualification
ITB	Instructions to Tenderers
PQ	Pre-qualification
PITA	Particular Instructions to Applicants, in the SPD
STD	Standard Tender Document
SPD	Standard Pre-qualification Document

GLOSSARY

Employer	One of the two parties to a works contract, the other party being the “Contractor.”
Contractor	The legal entity that is party to and performs a works contract, the other party to the contract being the “Employer.”
Management contractor	A firm, acting in the role of “Contractor,” that does not usually perform contract construction work directly, but manages the work of other (sub) contractors, while bearing full responsibility and risk for price, quality, and timely performance of the contract.
Construction Manager	A consultant, acting as agent of the Employer, engaged to coordinate and monitor the timing of preparation, tender award, and execution of a number of different contracts comprising a project, but does not take on the responsibility for price, quality, or performance of those contracts.
Nominated Subcontractor	A specialist enterprise selected and approved by the Employer to provide a pre-specified item in the BOQ, and nominated as subcontractor to the Contractor for such purpose.
Post-qualification	An assessment made by the Employer after the evaluation of tenders and immediately prior to award of contract, to ensure that the lowest-evaluated, responsive, eligible bidder is qualified to perform the contract in accordance with previously specified qualification requirements.
Pre-qualification	An assessment made by the Employer of the appropriate level of experience and capacity of firms expressing interest in undertaking a particular contract, before inviting them to tender.
Prime contractor	A firm that performs a substantial part of a contract construction work itself and the balance, if any, by subcontractors, while bearing full responsibility for the whole contract.
Provisional sum	A sum included provisionally in the BOQ of a contract, normally for a specialized part of the Works or for contingencies, which sum shall be used only on the instructions of the Employer for payments to the contractor and/or to nominated subcontractors.

Slice and Package	A procedure whereby a large homogeneous work is sliced into smaller similar contracts, which are bid simultaneously so as to attract the interest of both small and large firms; firms offer bids on individual contracts (slices) or on a group of similar contracts (packages), and award is made to the combination of bids offering the lowest cost to the Employer Slices comprising a number of similar construction units together in a small area are sometimes referred to as “lots,” which are bid concurrently with other similar “lots” as part of the larger “package.”
Turnover	The gross earnings of a firm (in this context, a construction contractor), defined as the billings for contract work in progress and/or completed, normally expressed on an annual basis, and excluding income from other sources.
Works	The total work involvement in a construction contract, including the “Permanent” Works or finished product as specified, and the “Temporary” Works required by the Contractor for the execution of the contract.
Writing	For the purpose of this document, any authenticated handwritten, typed, or printed communication, including telex, cable, electronic mail, and facsimile transmission, with proof of receipt when requested by the sender.

Invitation for Pre-qualification

.....: *(Name of Project)*

.....*(Name of work)*

1. The.....*[Name of implementing agency]* intends to pre-qualify contractors and/or firms for*[Description of Works to be procured]*. It is expected that invitations to bid will be made in *[Give month and year]*.
2. Pre-qualification will be conducted through pre-qualification procedures specified in Paragraph 27 of the Karnataka Transparency in Public Procurements Rules 2000, and is open to all eligible tenderers.
3. Interested eligible tenderers may obtain further information from and inspect the pre-qualification documents at the office of..... *[Give name of agency]* (address below)*[state address at end of document]* from 1100 to 1600 hours. A complete set of pre-qualification documents may be purchased by interested tenderers on the submission of a written application to the address below and upon payment of a non-refundable fee of Rs. *[Give amount]*. The method of payment will be by cash, demand draft or certified cheque/pay order drawn in favour of *(Give designation)* The document will be sent by speed post/courier on payment of additional fee of Rs.....
4. Applications for pre-qualification should be submitted in sealed envelopes, delivered to the address below by*[Give date]*¹, and be clearly marked "Application to Pre-qualify for*[Give the name of work]*."

.....
[Name of Implementing Agency]

.....
[Name of officer]

.....
[Adreess of Implementing Agency]

Telephone:

Fax:

¹ The time allowed for preparation of the pre-qualification submission should be sufficient for applicants to gather all the information required, but in any case not less than 45 days after the date the documents are available or the last date of the advertisement, whichever is later.

GENERAL INSTRUCTIONS TO APPLICANTS (GITA)

1. Scope of Works

Scope of Works	1.1	The Employer, as named in the PITA, intends to pre-qualify contractors for the Works described in the PITA.
Slice and Package	1.2	If so indicated in the PITA, the total Works to be constructed have been divided into a number of similar individual contracts (slices) and bids will be invited concurrently for individual contracts and for combinations of contracts (packages). Bidders can bid on individual contracts only or on a combination of contracts within their pre-qualified capacity as assessed by the Employer. Qualification criteria for slice and package bidding are described in Sub-Clause 4.15.
Tender Invitation	1.3	It is expected that pre-qualified applicants will be invited to submit tenders during the month and year indicated in the PITA.
Type of Contract	1.4	The tender documents, type of contract, and method of payment, whether prices are fixed or adjustable, and the time for completion are indicated in the PITA.
Site Information	1.5	General information on the climate, hydrology, topography, geology, access to site, transportation and communications facilities, medical facilities, project layout, expected construction period, facilities, services provided by the Employer, and other relevant data is attached as an Annex to the PITA.

2. Fraud and Corruption

- 2.1 The GOK requires that the tenderers/ Contractors observe the highest standard of ethics during the procurement and execution of such contracts. In pursuance of this policy, GOK:
- (a) will reject a proposal for award if it determines that the bidder recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question; and
 - (b) will declare a firm ineligible, either indefinitely or for a stated period of time, to be awarded a GOK contract if it at any time determines that the firm has engaged in corrupt or fraudulent practices in competing for, or in executing, a GOK contract.

3. Eligibility of Tenderers

Eligible Tenderers	3.1	Tenderers shall not be under a declaration of ineligibility for corrupt and fraudulent practices issued by GOK
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4. Qualification Criteria

General	4.1	Pre-qualification will be based on Applicants meeting all the following minimum pass-fail criteria regarding their general and particular construction experience, financial position, personnel and equipment capabilities, and other relevant information as demonstrated by the Applicant's responses in the Information Forms attached to the Letter of Application. The qualifications, capacity, and resources of proposed subcontractors will not be taken into account in assessing those of individual Applicants, unless they are named specialist subcontractors pursuant to Sub-Clause 4.4.
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- Nominated Subcontracting** 4.2 If so listed in the PITA, the Employer intends to execute certain specialized elements of the Works by **Nominated Subcontractors** in accordance with the GCOC of the tender documents, and for which **Provisional Sums** will be included in the BOQ for the subject Works.
- Subcontracting** 4.3 If an Applicant intends to subcontract parts of the Works such that the total of subcontracting is more than the percentage stated in the PITA of the Applicant's approximated Tender Price, that intention shall be stated in the Letter of Application, together with a tentative listing of the elements of the Works to be subcontracted.
- Specialist Subcontracting** 4.4 If an Applicant intends to subcontract any highly specialized elements of the Works to specialist subcontractors, such elements and the proposed subcontractors shall be clearly identified, and the experience and capacity of the subcontractors shall be described in the relevant Information Forms.
- Acceptable Substitutes** 4.5 With reference to Sub-Clauses 4.3 and 4.4, the Employer may require Applicants to provide more information about their proposals. If any proposed subcontractor is found ineligible or unsuitable to carry out an assigned task, the Employer may request the Applicant to propose an acceptable substitute, and may conditionally pre-qualify the Applicant accordingly, before issuing an invitation to tender.
- Contractor's Responsibility** 4.6 After award of contract, the subcontracting of any part of the Works, other than for the provision of labor and materials, or to subcontractors named in the Contract, shall require the prior consent of the Employer. Notwithstanding such consent, the Contractor shall remain responsible for the acts, defaults, and neglects of all subcontractors during contract implementation.
- General Construction Experience** 4.7 The Applicant shall provide evidence that
- (a) it has been actively engaged in the civil works construction business for at least the period stated in the PITA immediately prior to the date of submission of applications, in the role of prime contractor, management contractor, partner in Joint Venture, or subcontractor, and
 - (b) that the Applicant has generated an average annual construction turnover during the above period greater than the amount stated in the PITA.
- The average annual turnover is defined as the total of certified payment certificates for works in progress or completed by the firm or firms comprising the Applicant, divided by the number of years stated in the PITA.
- Particular Construction Experience** 4.8 (a) The Applicant shall provide evidence that it has successfully completed or substantially completed at least the number of contracts stated in the PITA, of a nature, complexity, and requiring construction technology similar to the proposed contract, within the period stated in the PITA. The works may have been executed by the Applicant as a prime contractor, management contractor, or proportionately as member of a joint venture, or subcontractor, with references being submitted to confirm satisfactory performance.
- (b) The Applicant shall also provide evidence that it has achieved the minimum monthly and/or annual production rates of the key construction activities described in the PITA under similar contract conditions.
- Financial Capabilities** 4.9 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

- Capabilities** any contractual advance payment) sufficient to meet the construction cash flow requirements for the subject contract(s) in the event of stoppage, start-up, or other delays in payment, of the minimum estimated amount stated in the PITA, net of the Applicant's commitments for other contracts.
- 4.10 In the relevant Information Form, 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.
- 4.11 The audited balance sheets or other financial statements acceptable to the Employer, for the last five years (unless otherwise stated in the PITA) shall be submitted and must demonstrate the current soundness of the Applicant's financial position and indicate its prospective long-term profitability. If deemed necessary, the Employer shall have the authority to make inquiries with the Applicant's bankers.
- Personnel Capabilities** 4.12 The Applicant shall supply general information on the management structure of the firm, and shall make provision for suitably qualified personnel to fill the key positions listed in the PITA, as required during contract implementation. The Applicant shall supply information on a prime candidate and on an alternate for each key position, both of whom shall meet the experience requirements specified.
- Equipment Capabilities** 4.13 The Applicant shall own, or have assured access (through hire, lease, purchase agreement, other commercial means, or approved subcontracting) to key items of equipment, in full working order, as listed in the PITA, and must demonstrate that, based on known commitments, they will be available for timely use in the proposed contract. The Applicant may also list alternative types of equipment that it would propose for use on the contract, together with an explanation of the proposal.
- Litigation History** 4.14 The Applicant shall provide accurate information on the related Application Form about any litigation or arbitration resulting from contracts completed or ongoing under its execution over the last five years. A consistent history of awards against the Applicant may result in failure of the application.
- Slice and Package** 4.15 When applying for pre-qualification on more than one contract under the slice and package arrangements, the Applicant must provide evidence that it meets or exceeds the sum of all the individual requirements for the slices or lots being applied for in regard to:
- (a) average annual turnover (Sub-Clause 4.7 [b]);
 - (b) particular experience including key production rates (Sub-Clause 4.8);
 - (c) financial means, etc. (Sub-Clauses 4.9, 4.10, and 4.11);
 - (d) personnel capabilities (Sub-Clause 4.12); and
 - (e) equipment capabilities (Sub-Clause 4.13)
- In case the Applicant fails to fully meet any of these criteria, it may be qualified only for those slices for which the Applicant meets the above requirement.
- Right to Waive** 4.16 The Employer reserves the right to waive minor deviations in the qualification criteria if they do not materially affect the capability of an Applicant to perform the contract.
- Approach and Construction Methods** 4.17 The applicant must attach with their application, a note giving a general description on the approach to the construction methods, technologies, quality assurance schemes proposed, deployment schedule of equipment proposed to be used, etc., for

- Methods** ensuring completion of the work as per specifications within the desired time-frame.
- Tender Capacity** 4.18 Applicants who meet the minimum qualification criteria will be qualified only if their available tender capacity at the expected time of tendering is more than the total estimated cost of the works. The available tender capacity will be calculated as under:
- Assessed Available Tender Capacity = $(A * N * 1.5 - B)$, where
- A = Maximum value of works executed in any one year during the last five years which will take into account the completed as well as works in progress;
- B = Value at current price level of the existing commitments and on-going works to be completed during the next _____ years (period of completion of works for which tenders are invited); and
- N = Number of years prescribed for completion of the works for which the tenders are invited.
- 4.19 Applicants meeting the above criteria, are nevertheless subject to be disqualified if they have:
- made misleading or false representation in the form, statements and attachments submitted; and/or
 - record of poor performance such as abandoning the work, not properly completing the contract, inordinate delays in completion, litigation history, or financial failures, etc.

5. Requests for Clarification

- Notification and Response** 5.1 Applicants are responsible for requesting any clarification of the pre-qualification documents. A request for clarification shall be made in writing to the Employer's address indicated in the PITA. The Employer will respond to any request for clarification that it receives earlier than 14 days prior to the deadline for submission of applications. Copies of the Employer's response, including a description of the inquiry but without identifying its source, will be forwarded to all purchasers of the pre-qualification documents,.

6. Submission of Applications

- Delivery** 6.1 Submission of applications for pre-qualification must be received in sealed envelopes either delivered by hand or by registered mail to the address, and not later than the date stated in the PITA. The name and mailing address of the Applicant shall be indicated on the envelope, which shall be clearly marked as indicated in the PITA. A receipt will be given for all applications submitted.
- Late Applications** 6.2 The Employer reserves the right to accept or reject late applications.
- Lack of Information** 6.3 Failure of an Applicant to provide comprehensive and accurate information that is essential for the Employer's evaluation of the Applicant's qualifications, or to provide timely clarification or substantiation of the information supplied, may result in disqualification of the Applicant.

- Material Changes** 6.4 Applicants, and those subsequently pre-qualified or conditionally pre-qualified, shall inform the Employer of any material change in information that might affect their qualification status. Tenderers shall be required to update key pre-qualification information at the time of tendering. Prior to award of contract, the lowest evaluated tenderer will be required to confirm its continued qualified status in a post-qualification review process.

7. Employer's Notification and Tender Process

- Invitation for Tender** 7.1 Within the period stated in the PITA from the date for submission of applications, the Employer will notify all Applicants in writing of the results of their application, and of the names of all pre-qualified and conditionally pre-qualified applicants (see Sub-Clause 7.2 below). At the same time, successful applicants will be invited to submit a tender, in the format of the Invitation for Tenders annexed to the PITA.
- Conditional Pre-qualification** 7.2 An Applicant may be "conditionally pre-qualified," that is, qualified subject to certain specified nonmaterial deficiencies in the pre-qualification requirements being met by the Applicant to the satisfaction of the Employer, before submitting a tender. Upon full compliance with the pre-qualification requirements, other pre-qualified applicants will be notified accordingly.
- One Tender per Tenderer** 7.3 Only firms that have been pre-qualified under this procedure may submit a tender. A firm shall submit only one tender in the same tendering process. No firm can be a subcontractor while submitting a tender individually in the same tendering process. A firm, if acting in the capacity of **Subcontractor** in any tender, may participate in more than one tender, but only in that capacity. A Tenderer who submits, or participates in, more than one tender will cause all the proposals in which the Tenderer has participated to be disqualified.
- Earnest Money Deposit** 7.4 Tenderers will be required to provide earnest money deposit in the form and amount indicated in the tender documents. The successful tenderer will be required to provide performance security in the form and amount indicated in the tender documents.
- Changes after Pre-qualification** 7.5 Any change in the structure or formation of an Applicant after being pre-qualified and invited shall be subject to written approval of the Employer prior to the deadline for submission of tenders. Such approval will be denied if as a consequence of any change:
- (a) an individual firm, fails to meet any of the collective or individual qualifying requirements; or
 - (b) in the opinion of the Employer, a substantial reduction in competition may result.
- Employer's Rights** 7.6 The Employer reserves the right to take the following actions, and shall not be liable for any such actions:
- (a) amend the scope and cost of any contract to be tendered under this project, in which event tenders will be invited only from those applicants who meet the resulting amended pre-qualification requirements;
 - (b) reject or accept any pre-qualification application, and/or any late application; and
 - (c) cancel the pre-qualification process and reject all applications.

PARTICULAR INSTRUCTIONS TO APPLICANTS (PITA)**Part A: General**

All items in the PITA should be filled in by the Employer before issuance of the pre-qualification documents.

The PITA below is formatted for pre-qualification related to either a single (individual) contract or multiple contracts (“slice and package”). Part A relates to general matters that are common to both processes. Part B relates to specific requirements for an individual contract or to each contract (slice) within a package.

GITA Sub-Clause Reference	These particular instructions and related Information Forms (IF) are intended to complement, amend, or supplement the provisions in the GITA. In the event of conflict or ambiguity, the provisions in the PITA shall prevail over those in the GITA.
1.1	<u>Name of Project:</u> <i>[Give the name and describe briefly the principal components of the overall project of which the subject contract or contracts form(s) part.]</i>
1.1	<u>The Employer:</u> <i>[Name, address, telephone and fax numbers, and electronic mail address for contact purposes.]</i>
1.2	<u>Slice and Package</u> <u>Concurrent tendering on more than one contract:</u> <i>[Enter “yes” or “no.” If yes, list all contracts by reference number and title. Each contract should then be detailed in Part B of the PITA.]</i>
1.3	<u>Tender Invitation</u> <u>Expected date of Invitation for Tenders:</u> <i>[Insert the date; or alternatively, just the month and year if a precise date has not yet been decided.]</i>
4.11	<u>Audited Balance Sheets or Financial Statement</u> <u>Time period if less than five years:</u> <i>[The time period may be reduced to three years minimum under special circumstances, such as to provide opportunities for a newly privatized construction Industry with a limited period of existence, but with suitable experience, etc. Firms owned by individuals and partnerships may not be required to maintain audited balance sheets; in such cases, the Employer may relax the audit requirement, but should request other acceptable financial statements.]</i>
5.1	<u>Requests for Clarification:</u> Address: <i>[Give address of Employer (or implementing agency) handling clarifications.]</i>
6.1	<u>Submission of Applications</u> Address: <i>[Give precise address, and preferably room number, for submission.]</i> Date for Submission:

	<p><i>[The time allowed for preparation and submission of the pre-qualification document should be sufficient for applicants to gather all the information required—preferably eight weeks, but in any case not less than six weeks after the dates when the documents are available for distribution or the date of the advertisement. This period may be longer for very large projects, where time should be allowed for the formation of joint ventures and assembly of the necessary resources.]</i></p> <p><u>Envelope Marking:</u> “Pre-qualification Application for: _____ / _____” <i>[Give name of project and contract reference numbers as stated in the Invitation for Pre-qualification.]</i></p>
7.1	<p><u>Employer’s Notification</u></p> <p>Time period from the closing date for submission of applications: 10 weeks.</p>

Part B: Specific Contract Requirements

A separate Part B should be completed by the Employer for each contract in a multiple contract (“slice and package”) pre-qualification.

GITA Sub-Clause Reference	These particular instructions and related Information Forms (IF) are intended to complement, amend, or supplement the provisions in the GITA. In the event of conflict or ambiguity, the provisions herein shall prevail over those in the GITA.
1.1	<p><u>Scope of Work</u> <u>Contract Reference:</u> _____ <u>Title:</u> _____</p> <p><u>The Works:</u> <i>[Give a contract reference number and title, and describe the Works in sufficient detail to identify location, nature, and complexity. Approximate quantities of major items of work should be indicated, but the estimated cost should not be disclosed in these Instructions or in the Invitation for Pre-qualification.]</i></p>
1.4	<p><u>Type of Contract</u> <u>Tender Documents:</u> <i>[State the tender document proposed to be used.]</i></p> <p><u>Method of payment:</u> _____ <u>Prices:</u> _____ <i>[State whether: unit rate with BOQ, lump sum against completed activities, or other, and whether prices are fixed or adjustable.]</i></p> <p><u>Time for completion:</u> <i>[State time in weeks; if variable times are to be invited, give the range of acceptable times. With multiple slice and package contracting, additional time may be permitted for combinations of slices, and evaluated accordingly on the basis of benefits foregone for the longer times of completion.]</i></p>
1.5	<p><u>Site Information:</u> See Annex to the PITA Part B for the referenced contract <i>[Provide details as described in GITA Sub-Clause 1. 5; additional Annexes should be provided for each contract in “slice and package” tendering.]</i></p>
4.2	<p><u>Nominated Subcontracting</u> The Employer intends to execute the following specialized elements of the Works by Nominated Subcontractors: 1) 2) etc.</p> <p><i>[Describe briefly the specialized items to be subcontracted; if none, enter “Not Applicable.”]</i></p>
4.3, 4.4	<p><u>Subcontracting by Applicant:</u> Provide information if more than about 10 percent of the Applicant’s approximated Tender Price.</p>
4.7	<p><u>General Construction Experience</u></p>

	<p>(a) <u>Time period in the Construction Business:</u> <i>[The time period is normally five years or more, but may be reduced to not less than three years (in agreement with the Bank) under special country circumstances, such as to provide opportunities for a newly privatized construction industry with only a short record of experience, etc.]</i></p> <p>(b) <u>Required Average annual turnover:</u> (In all classes of Civil Engineering construction work only) Rs..... Lakhs <i>[The amount stated should normally not be less than twice the estimated annual turnover or cash flow in the proposed Works contract (based on a straight-line projection of the Employer's estimated cost, including contingencies, over the contract duration). The multiplier of two may be reduced for very large contracts (Rs.100 Crore) but should not be less than 1.5.]</i></p>
4.8	<p><u>Particular Construction Experience</u></p> <p>(a) <u>Required number of similar contracts completed (not less than 90% of contract value):</u> Nos. of value not less than Rs..... lakhs each. <i>[The range should be one to three (and is normally two), depending on the size and complexity of the subject contract, the exposure of the Employer to risk of contractor default. For example, for small- to medium-sized contracts, an Employer may be prepared to risk an award to an applicant with only <u>one</u> previous similar contract completed. For contracts in a developed environment with a high potential supply of construction services, <u>three</u> similar contracts may not limit applications, but would reduce the risk of Contractor default.* The value of the completed contract should not be less than 80 percent of estimated contract value of the work for which pre-qualification applications are invited.]</i></p> <p><u>Within time period of:</u> <i>[The range is normally five to ten years, and should be related to the number of similar contracts stated above and to the duration of the subject contract, e.g., ten years for two contracts of about five years' duration, or six years for two contracts of about three years' duration.]</i></p> <p>(b) <u>Minimum annual key production rates:</u> 1) _____ 2) _____ etc.</p> <p><i>[List the annual production rate for the key construction activity (or activities) in the proposed contract or works, e.g., "X m³ of earth placed in earthen dams in one year; Y tons of asphaltic concrete per month placed in road paving; Z m³ of concrete placed in . . . etc." The rates should be a percentage (about 80 percent) of the estimated production rate of the key activity (or activities) in the contract or Works as needed to meet the expected construction schedule with due allowance for adverse climatic conditions.]</i></p>
4.9	<p><u>Financial Capabilities</u></p> <p><u>Minimum Required Cash Flow amount:</u> Rs. Lakhs <i>[Calculate the construction cash flow requirement for 4 to 6 months. The assessment of the monthly amount should be based on a straight-line projection of the estimated cash flow requirement over the particular contract period, neglecting the effect of any advance payment and retention monies, but including contingency allowances in the estimated contract cost.]</i></p>

<p>4.12</p>	<p><u>Personnel Capabilities</u></p> <table border="1"> <thead> <tr> <th><u>Position</u></th> <th><u>Total Work/Business Experience (years)</u></th> <th><u>In Similar Work (years)</u></th> </tr> </thead> <tbody> <tr> <td>1) _____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>2) _____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>3) _____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>4) _____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>etc.</td> <td></td> <td></td> </tr> </tbody> </table> <p><i>[List only key site management and specialist positions required for the subject contract(s) (e.g., contract manager and deputy manager, equipment manager, tunnelling specialist, dredging expert, etc.)]</i></p> <p>The Applicant shall provide further details of the proposed personnel and their experience records in the relevant Information Forms 6 and 6A.</p>	<u>Position</u>	<u>Total Work/Business Experience (years)</u>	<u>In Similar Work (years)</u>	1) _____	_____	_____	2) _____	_____	_____	3) _____	_____	_____	4) _____	_____	_____	etc.		
<u>Position</u>	<u>Total Work/Business Experience (years)</u>	<u>In Similar Work (years)</u>																	
1) _____	_____	_____																	
2) _____	_____	_____																	
3) _____	_____	_____																	
4) _____	_____	_____																	
etc.																			
<p>4.13</p>	<p><u>Equipment Capabilities</u></p> <table border="1"> <thead> <tr> <th><u>Equipment Type and Characteristics</u></th> <th><u>Minimum Number Required</u></th> </tr> </thead> <tbody> <tr> <td>1) _____</td> <td>_____</td> </tr> <tr> <td>2) _____</td> <td>_____</td> </tr> <tr> <td>3) _____</td> <td>_____</td> </tr> <tr> <td>etc.</td> <td></td> </tr> </tbody> </table> <p><i>[Insert a list of anticipated key equipment needs only, described as specific items or by performance criteria, as appropriate. The items listed should be limited to major items of equipment that are crucial to the proper and timely execution of the contract, and items that Applicants may not readily be able to purchase, hire, or lease in the required time frame. E.g., bucket or suction dredgers of a certain capacity, tunneling equipment, heavy lift floating cranes, asphalt or concrete batching plants, heavy rock-ripping bulldozers, etc.]</i></p> <p>The Applicant shall provide further details of proposed items of equipment in the relevant Information Form.</p>	<u>Equipment Type and Characteristics</u>	<u>Minimum Number Required</u>	1) _____	_____	2) _____	_____	3) _____	_____	etc.									
<u>Equipment Type and Characteristics</u>	<u>Minimum Number Required</u>																		
1) _____	_____																		
2) _____	_____																		
3) _____	_____																		
etc.																			

Site Information Annexure

Pursuant to GITA 1.5, attached hereto is general information and site data relating to the subject contract.

[The Employer should prepare and attach a report providing information (as available at the time) on the topics listed in GITA 1.5.]

INVITATION FOR TENDERS
[letterhead paper of the Employer]

_____ [date]

To: *[name of Contractor]*
[address]

Contract Name, and Identification No. _____ / _____ *

Dear Sirs:

We hereby inform you that you are pre-qualified for tendering for the above cited contract. A list of pre-qualified and conditionally pre-qualified Applicants is attached to this invitation.

Eligibility is subject to confirmation at tender evaluation.

We now invite you and other pre-qualified Applicants to submit sealed tenders for the execution and completion of the cited contract.

You may obtain further information from, and inspect and acquire the tender documents at, our offices at *[mailing address, street address, and cable/telex/facsimile numbers]*.

A complete set of tender documents may be purchased by you at the above office, on or after *[time and date]* and upon payment of a nonrefundable fee of Rs.

All tenders must be accompanied by a earnest money deposit in the form and amount specified in the tender documents, and must be delivered to *[address and exact location]* at or before *[time and date]*. Tenders will be opened immediately thereafter in the presence of tenderers' representatives who choose to attend.

Please confirm receipt of this letter immediately in writing by cable, fax, or telex. If you do not intend to tender, we would appreciate being so notified also in writing at your earliest opportunity.

Yours truly,

Authorized signature _____
Name and title _____
Employer _____

**The Employer should insert the name and no. of a single contract, or for concurrent slice and package bidding, those of individual contracts (slices) within the package for which Applicants expressed a preference, and for which they are pre-qualified.*

LETTER OF APPLICATION

*Note: Spaces marked * on this and on subsequent forms are to be completed by the Employer.*

[letterhead paper of the Applicant including full postal address, and telephone, facsimile and telex numbers, and cable address]

Date: _____

To: _____
*[name and address of the Employer]**

Name of Project: * _____

1. Being duly authorized to represent and act on behalf of _____ (hereinafter referred to as “the Applicant”), and having reviewed and fully understood all of the pre-qualification requirements and information provided, the undersigned hereby applies for pre-qualification to tender on the contract or contracts indicated below:

***Note: If pre-qualification refers to only one contract, delete the following paragraph and table, and insert the single contract reference and title.*

** We have indicated (by signature) in column (3) below our preference for individual contract consideration, or for any combination thereof within our pre-qualified capacity as assessed by you.

Contract reference* (1)	Contract title* (2)	Preferred individual contract (3)
1.		
2.		
3.		
4. etc.		

[See Annexure for the suggested number of slices]

2. Attached to this letter are copies of original documents defining:

- (a) the Applicant's legal status;
- (b) the principal place of business; and
- (c) the place of incorporation (for Applicants that are corporations), or the place of registration and the nationality of the owners (for Applicants that are partnerships or individually owned firms).

3. With reference to GITA Sub-Clause 4.3, it is our intention to subcontract approximately _____ percentage of the Tender/Contract Price, details of which are provided herein.

4. Your Agency and its authorized representatives are hereby authorized to conduct any inquiries or investigations to verify the statements, documents, and information submitted in connection with this application, and to seek clarification from our bankers and clients regarding any financial and technical aspects. This Letter of Application will also serve as authorization to any individual or authorized representative of any institution referred to in the supporting information to provide such information deemed necessary and as requested by yourselves to verify statements and information provided in this application, such as the resources, experience, and competence of the Applicant.

5. Your Agency and its authorized representatives may contact the following persons for further information:

General and managerial inquiries	
Contact 1	Address and communication facilities
Contact 2	Address and communication facilities

Personnel inquiries	
Contact 1	Address and communication facilities
Contact 2	Address and communication facilities

Technical inquiries	
Contact 1	Address and communication facilities
Contact 2	Address and communication facilities

Financial inquiries	
Contact 1	Address and communication facilities
Contact 2	Address and communication facilities

6. This application is made with the full understanding that:

- (a) tenders by pre-qualified Applicants will be subject to verification of all information submitted for pre-qualification at the time of submission of tenders;
- (b) your Agency reserves the right to:

- amend the scope and value of any contracts to be tendered under this project; in which event, tenders will be invited only from those Applicants who meet the resulting amended pre-qualification requirements; and
- reject or accept any application, cancel the pre-qualification process, and reject all applications.

(c) your Agency shall not be liable for any such actions under 6(b) above..

7. The undersigned declare that the statements made and the information provided in the duly completed application are complete, true, and correct in every detail.

Signed Name	Signed Name
For and on behalf of (name of Applicant)	For and on behalf of (name of partner)

Signed Name	Signed Name
For and on behalf of (name of partner)	For and on behalf of (name of partner)

Signed Name	Signed Name
For and on behalf of (name of partner)	For and on behalf of (name of partner)

INFORMATION FORMS

Supplementary information may be provided by Applicants as deemed necessary.

These basic Information Forms should be finalized by the Employer with appropriate minor changes to suit the particular pre-qualification requirements of the specific contract or contracts.

General Information

All individual firms applying for pre-qualification are requested to complete the information in this form. Nationality information should be provided for all owners or Applicants that are partnerships or individually owned firms.

Where the Applicant proposes to use named subcontractor (for more than 10% of contract value) as also for highly specialized components of the Works (reference Sub-Clause 4.3, 4.4 of the GITA), the following information should also be supplied for the subcontractor(s), together with the information in Forms 2, 3, 3A, 4, 5, and 7.

1.	Name of firm	
2.	Head office address	
3.	Telephone	Contact
4.	Fax	Telex
5.	Place of incorporation / registration	Year of incorporation / registration

Nationality of owners ¹		
	Name	Nationality
1.		
2.		
3.		
4.		
5.		

1. To be completed by all owners of partnerships or individually owned firms.

APPLICATION FORM (1A)

Structure and Organization

1. The applicant is _____
 (a) an individual
 (b) a proprietary firm
 (c) a firm in partnership
 (d) a Limited Company or Corporation

2. Attach the organization Chart showing the structure of the organization, including the names of the directors and position of officers. _____

3. Number of years of experience:
 (a) as a Prime Contractor (contractor shouldering major responsibility) -----
 (b) as a Management Contractor _____
 (c) as sub-contractor (specify main contractor) _____

4. For how many years has your organization been in business of similar work under its present name? What were your fields when your organization was Established? Whether any new fields were added in Your organization? And if so, when? _____

5. Were you ever required to suspend construction for a period of more than six months continuously after you started? If so, give the name of project and give reasons therefor.

6. Have you ever left the work awarded to you incomplete? (If so, give name of project and reasons for not completing work.)

7. In which fields of civil engineering construction do you claim specialization and interest?

8. Give details of your experience in mechanized cement concrete lining and in modern concrete technology for manufacture and quality control[@].

9. Give details of your experience in using heavy earthmoving equipment and quality control in compaction of soils[@].

10. Give details of your soil and material testing laboratory, if any[@].

11. Give details of your experience in mechanized granular pavement construction[@].

12. Give details of your experience in Laying of Prime coat along with spreading of dry stone chipping[@].

13. Give details of your experience in construction of asphaltic Overlays[@].
14. Give details of your experience in construction of Bridge Works in Reinforced Cement Concrete[@].
15. Give details of your experience in construction of Bridge Works in plain Cement Concrete[@].
16. Give details of your experience in construction of bridge Works in Well Foundations of a depth not less than 12 metres[@].

[@] *Modify there as appropriate for the works for which pre-qualification applications are invited.*

General Construction Experience Record
(ref. GITA Sub-Clause 4.7)

Name of Applicant

All individual firms are requested to complete the information in this form with regard to the management of Works contracts generally. The information supplied should be the annual turnover of the Applicant, in terms of the amounts billed to clients (in Rs. Lakhs) for each year for work in progress or completed. The annual periods should be the completed financial years.

A brief note on each contract should be appended, describing the nature of the work, duration and amount of contract, managerial arrangements, Employer, and other relevant details.

Applicants should not enclose testimonials, certificates, and publicity material with their applications; they will not be taken into account in the evaluation of qualifications.

Year*	Turnover (Rs. Lakhs)
1.	
2.	
3.	
4.	
5.	

Particular Construction Experience Record
(ref. GITA Sub-Clause 4.8)

Name of Applicant

To pre-qualify, the Applicant shall be required to pass the specified requirements applicable to this form, as set out in the PITA.

On separate pages, using the format of Form (3A), the Applicant is requested to list contracts of a similar nature, complexity, and requiring similar construction technology to the contract or contracts for which the Applicant wishes to qualify, and which the Applicant has undertaken during the period, and of the number, stated in 4.8 of the PITA. The contract value should be based on the payment, at the date of substantial completion, or for ongoing contracts at the time of award. The information is to be summarized, using Form (3A), for each contract completed or under execution, by the Applicant.

Where the Applicant proposes to use named subcontractors for highly specialized elements of the Works (reference Sub-Clause 4.4 of the GITA), the information in the following forms should also be supplied for each subcontractor (or alternate, if any).

Details of Contracts of Similar Nature and Complexity

Name of Applicant

Use a separate sheet for each contract.

1.	Number of contract	
	Name of contract	
	Country	
2.	Name of Employer	
3.	Employer address	
4.	Nature of works and special features relevant to the contract for which the Applicant wishes to pre-qualify	
5.	Contract role (check one) <input type="checkbox"/> Prime contractor <input type="checkbox"/> Management contractor <input type="checkbox"/> Subcontractor <input type="checkbox"/> Partner in Joint Venture	
6.	Amount of the total contract/subcontract/partner share (at completion, or at date of award for current contracts) Rs.	
7.	Total contract: Rs. Lakhs _____; Subcontract: Rs. Lakhs _____; Partner share: Rs. Lakhs _____	
8.	Date of award/completion	
9.	Contract was completed _____ months ahead/behind original schedule (if behind, provide explanation).	
10.	Contract was completed Rs. Lakhs under/over original contract amount (if over, provide explanation).	
11.	Special contractual/constructional requirements, including monthly/annual production rates of the key construction activities described in PITA 4.8	
*		
12.	Indicate the approximate percent of total contract value of work undertaken by subcontract, if any, and the nature of such work.	

* *Attach specific formats for the information required.*

Details of Production Levels in Key Construction Activities
(Sl. No. 11 of Information Form 3A)

	Name of Contract	Employer Contact Address, Agreement No. and Date	Value (Rs. Lakhs)	Year ²	Quantities Executed			
1				99-00 00-01 01-02 02-03 03-04				
2.								
3.								

² Change the years appropriately

Summary Sheet: Current Contract Commitments / Works in Progress

Name of Applicant

Applicants should provide information on their current commitments on all contracts that have been awarded, or for which a letter of intent or acceptance has been received, or for contracts approaching completion, but for which an unqualified, full completion certificate has yet to be issued.

Name of contract	Employer, contact address/tel/fax	Value of outstanding work (Rs. Lakhs)	Estimated completion date	Average monthly invoicing over last six months (Rs. Lakhs)
1.				
2.				
3.				
4.				
5.				
etc.				

In accordance with GITA Sub-Clause 4.10, the Applicant shall provide evidence (in a similar manner to the requirements of Sub-Clause 4.9) to substantiate the adequacy of the sources of finance to meet the Applicant's cash flow requirements on the above contracts.

Financial Capabilities

Name of Applicant

Applicants shall provide financial information to demonstrate that they meet the requirements stated in the GITA. Each applicant or partner of a joint venture shall complete this form. If necessary, separate sheets shall be used to provide complete banker information. A copy of the audited balance sheets shall be attached.

Autonomous construction subdivisions of parent conglomerate businesses shall submit financial information related only to the particular activities of the subdivision.

Banker	Name of banker	
	Address of banker	
	Telephone	Contact name and title
	Fax	Telex

Summarize actual assets and liabilities in Rs..... Lakhs for the previous five calendar years, or such period as stated in PITA 4.11. Based upon known commitments, summarize projected assets and liabilities in Rs..... Lakhs for the next two calendar years, unless the withholding of such information by stock market listed public companies can be substantiated by the Applicant.

Financial information in Rs. Lakhs	Actual: Previous five years					Projected: Next two years		
	5.	4.	3.	2.	1.	0	1	2
1. Total assets								
2. Current assets								
3. Total liabilities								
4. Current liabilities								
5. Profits before taxes								
6. Profits after taxes								

Specify proposed sources of financing, such as liquid assets, unencumbered real assets, lines of credit, and other financial means, net of current commitments, available to meet the total construction cash flow demands of the subject contract or contracts as indicated in GITA 4.9.

Source of financing	Amount (Rs. Lakhs)
1.	
2.	
3.	
4.	

Attach audited financial statements—including, as a minimum, profit and loss account, balance sheet, and explanatory notes—for the period stated in PITA 4.11 .

INFORMATION FORM (5A)

FORMAT FOR EVIDENCE OF ACCESS TO OR AVAILABILITY OF OVERDRAFT/
CREDIT FACILITIES

BANK CERTIFICATE

This is to certify that M/s _____ is a reputed company with a good financial standing.

If the contract for the work, namely _____ is awarded to the above firm, we shall be able to provide overdraft/credit facilities to the extent of Rs. _____ to meet their working capital requirements for executing the above contract.

-- Sd. --

Name of the Bank

Senior Bank Manager

Address of the Bank

Personnel Capabilities

Name of Applicant

For specific positions **essential** to contract management and implementation, Applicants should provide the names of at least two candidates qualified to meet the specified requirements stated for each position. The data on their experience should be supplied on separate sheets using one Form (6A) for each candidate.

Applicants may propose alternative management and implementation arrangements requiring different key personnel, whose experience records should be provided.

1.	Title of position*
	Name of prime candidate
	Name of alternate candidate
2.	Title of position*
	Name of prime candidate
	Name of alternate candidate
3.	Title of position*
	Name of prime candidate
	Name of alternate candidate
4.	Title of position*
	Name of prime candidate
	Name of alternate candidate

**As listed in PITA 4.12.*

Candidate Summary

Name of Applicant

Position		Candidate <input type="checkbox"/> Prime <input type="checkbox"/> Alternate	
Candidate information	Name of candidate	Date of birth	
	Professional qualifications		
Present employment	Name of employer		
	Address of employer		
	Telephone	Contact (manager / personnel officer)	
	Fax	Telex	
	Job title of candidate	Years with present employer	

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

From	To	Company / Project / Position / Relevant technical and management experience

Equipment Capabilities
(ref. GITA Sub-Clause 4.13)

Name of Applicant

The Applicant shall provide adequate information to demonstrate clearly that it has the capability to meet the requirements for each and all items of equipment listed in the PITA 4.13. A separate Form (7) shall be prepared for each item of equipment listed in the PITA, or for alternative equipment proposed by the Applicant.

Item of equipment		
Equipment information	Name of manufacturer	Model and power rating
	Capacity	Year of manufacture
Current status	Current location	
	Details of current commitments	
Source	Indicate source of the equipment <input type="checkbox"/> Owned <input type="checkbox"/> Rented <input type="checkbox"/> Leased <input type="checkbox"/> Specially manufactured	

Omit the following information for equipment owned by the Applicant

Owner	Name of owner	
	Address of owner	
	Telephone	Contact name and title
	Fax	Telex
Agreements	Details of rental / lease / manufacture agreements specific to the project	

