German Financial Cooperation
with
Lebanon

Water / Wastewater Programme for Host Communities
Phases 1 & 2

Prequalification Document

for

Procurement of Design-Build Services for Rehabilitation and Construction works at Dbayeh Water Treatment Plant

Employer: Beirut and Mount Lebanon Water Establishment (BMLWE)
Badaro Sami El-Soleh Street
Chedrawi Bldg.
Beirut / Lebanon

June 2026

BMZ-No 2016 6796.3 & 2017.6827.4

ICB/ KfW Procurement No. 512728

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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[1], 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 International Competitive Bidding ("ICB") number corresponding to this prequalification is also provided in the **PDS.**

2. Source of Funds

2.1 The Employer as indicated in the **PDS** has applied for or received financing (hereinafter called "funds") from KfW Development Bank (hereinafter called "KfW") towards the cost of the project named in the **PDS.** The Employer 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.

3. Corrupt and Fraudulent Practices

3.1 KfW requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Section VI.

3.2 In further pursuance of this policy, Applicants shall permit and shall cause its agents to provide information and permit KfW or an agent appointed by KfW to inspect on site all accounts, records and other documents relating to the submission of the Application, bid submission (in case prequalified), and contract performance (in the case of award), and to have them audited by auditors or agents appointed by KfW.

4. Eligible Applicants

4.1 An Applicant may be a firm that is a private entity, a government-owned entity — subject to Section V - or a combination of such entities in the form of a joint venture ("JV") under an existing JV Agreement or with the intent to enter into such an agreement supported by Declarations of Association. In the case of a JV, all members shall be jointly and severally liable for the execution of the Contract in accordance with the Contract terms. The Applicant shall nominate an authorized representative who shall have the authority to conduct all business for and on behalf of the Applicant and any and all its members, if the Applicant is a JV, during the prequalification process, bidding (in the event the Applicant submits a bid) and during contract execution (in the event the Applicant is awarded the Contract). Unless specified in

[1] Instead of Employer, the term Project Executing Agency or Contracting Authority might be used interchangeably.

the **PDS**, there is no limit on the number of members in a JV.

4.2 A firm may apply for prequalification both individually, and as part of a JV, or 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. 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.

4.3 KfW's eligibility criteria for prequalification are described in Section V – Eligibility Criteria.

4.4 Applicants shall not have a conflict of interest. Any Applicant found to have a conflict of interest shall be disqualified. An Applicant may be considered to have a conflict of interest for the purpose of this prequalification process, if the Applicant:

(a) Directly or indirectly controls, is controlled by or is under common control with another Applicant; or

(b) Receives or has received any direct or indirect subsidy from another Applicant; or

(c) Has the same legal representative as another Applicant; or

(d) Has a relationship with another Applicant, directly or through common third parties, that puts it in a position to influence the application of another Applicant, or influence the decisions of the Employer regarding this prequalification process; or

(e) Any of its affiliates participated as a consultant in the preparation of the design or technical specifications of the works that are the subject of the prequalification; or

(f) Any of its affiliates has been hired (or is proposed to be hired) by the Employer as Engineer for the Contract implementation; or

(g) Has a close business or family relationship with a professional staff of the Employer (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 documents or specifications of the contract, and/or the prequalification evaluation process; 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 KfW throughout the procurement process and execution of the contract.

4.5 An Applicant shall not be under suspension from bidding by the Employer as the result of the execution of a Bid–Securing Declaration.

4.6 An Applicant shall provide such evidence of eligibility satisfactory to the Employer, as the Employer shall reasonably request.

5. Eligible Materials, Equipment, and Services

5.1 The materials, equipment and services to be supplied under the Contract and financed by KfW may have their origin in any country subject to the restrictions specified in Section V - Eligibility criteria, and all expenditures under the Contract will not contravene such restrictions.

B. Contents of the Prequalification Documents

6. Sections of Prequalification Documents

6.1 These Prequalification Documents consist 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

(a) Section I. Instructions to Applicants (ITA);

(b) Section II. Prequalification Data Sheet (PDS);

(c) Section III. Qualification and Evaluation;

(d) Section IV. Application Forms;

(e) Section V. Eligibility Criteria;

(f) Section VI. KfW Policy – Corrupt and Fraudulent practices – Social and Environmental Responsibility;

PART 2 - Works Requirements

(g) Section VII. Scope of Works.

6.2 Unless obtained directly from the Employer, the Employer accepts no responsibility for the completeness of the Prequalification Documents, responses to requests for clarification, or Addenda 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 Documents and to furnish with its Application all information or documentation as is required by the Prequalification Documents.

7. Clarification of Prequalification Documents

7.1 A prospective Applicant requiring any clarification of the Prequalification Documents 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 Documents 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 Documents 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.

8. Amendment of Prequalification Documents

8.1 At any time prior to the deadline for submission of Applications, the Employer may amend the Prequalification Documents by issuing an Addendum.

8.2 Any Addendum issued shall be part of the Prequalification Documents and shall be communicated in writing to all prospective Applicants who have obtained the Prequalification Documents from the Employer. The Employer shall promptly publish the Addendum at the Employer's web page identified in the **PDS**.

8.3 To give prospective Applicants reasonable time to take an Addendum into account in preparing their Applications, the Employer may, at its discretion, extend the deadline for the submission of Applications 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) The Application Submission Sheet, indicating the Applicant's name, address, telephone, fax and email. If the Applicant is an association, the Application Submission Sheet shall also describe the form of association and list the association members;

(b) A Power of Attorney authorizing the representative of the Applicant, designated in accordance with ITA 4.1 to submit the Application on behalf of the Applicant. If the Applicant is a JV, the Power of Attorney shall be provided by the Lead Member nominated in the JV Agreement or in the Declarations of Association, submitted in accordance with ITA 4.1. If the representative of the Applicant is the owner, member or director of the Applicant or the Applicant's Lead Member, if so nominated in accordance with ITA 4.1, a Power of Attorney shall not be necessary.

(c) Presentation of the Applicant (maximum 10 pages, no brochures). If the Applicant is a single entity, the Presentation shall describe the Applicant's type of entity, ownership structure and organization chart, as well as its main business areas as they apply to the project. If the Applicant is a JV, the Presentation shall provide this information about each JV member as well as a description of the intended form of collaboration of the members within the JV. Where the Applicant's qualifications to carry out the assignment have been acquired as a result of a merger or acquisition, the presentation must include a detailed business history of the Applicant.

(d) Statements and Declarations: False information provided in the following Statements and Declarations by the Applicant or in the case of an JV by any of the JV members shall lead to the exclusion of the Applicant from the tender process:

(I) If the Applicant is an existing JV, the Applicant shall submit a proof of the existing Association Agreement, indicating the Lead Member. If the Applicant is a JV, which the members intend to form for the purpose of executing the contract, each member of the association shall submit a Declaration of Association, indicating the Lead Member, in the format provided in Annex Section IV, Application Forms.

(II) Declaration of Undertaking in the format provided in Section IV, Application Forms. If the Applicant is a JV, only one Declaration of

Undertaking must be submitted, i.e. the representative of the JV can sign on behalf of the JV subject to a power of attorney.

(III) Financial Capacity Statement in the format provided in Section IV, Application Forms and supported by the Applicant's Balance Sheets and Profit and Loss Statements. If the Applicant is a JV, separate statements, including the supporting Balance Sheets and Profit and Loss Statements, shall be provided by each member of the JV. All Balance Sheets and Profit and Loss Statements shall be certified by a reputable auditor.

(IV) List of project references in the format provided in Section IV, Application Forms. Unless otherwise stated in the **PDS** the references shall be limited to a maximum of 10 projects carried out during the 5 years preceding the publication of this prequalification document. The Employer reserves the right to contact the clients indicated in the references to ascertain the information provided by the Applicant.

(V) List of Available Expertise and Human Resource Capacity in the format provided in Section IV, Application Forms.

(e) All Application forms and required attachments, provided in Section IV, Application Forms. If the Applicant is a single entity, in accordance with ITA 4.1, it should not include form ELI 1.2 in its Application.

(f) Any other documents required 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 Form

12.1 The Applicant shall complete an Application Submission Form as provided in Section IV, Application Forms. This Form 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 and sign the Declaration of Undertaking as provided in Section IV, Application Forms without any alteration to its format and furnish supporting documentation as specified in Forms ELI 1.1, ELI 1.2(a) and ELI 1.2(b).

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 and Evaluation, the Applicant shall provide the information requested in the corresponding Forms included in Section IV, Application Forms.

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, designated in accordance with ITA 4.1, on behalf of the JV.

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 Identification 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 submitted in accordance with the instructions, including the address and deadline, stipulated in the **PDS.**

17.2 The Employer may, at its discretion, extend the deadline for the submission of Applications by amending the Prequalification Documents 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 Late Applications received after the deadline indicated in ITA 17.1 will be rejected.

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 The Employer shall prepare a record of the opening of Applications, which shall include, as a minimum, the name of the Applicant and whether the Application has been received in time.

E. Procedures for Evaluation of Applications

20. Confidentiality

20.1 Information relating to the Applications, their evaluation and result 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 (except as specified in 20.1 above), 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 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 shall reject an Application that is not substantially responsive to the requirements of this prequalification document. An Application shall be considered as responsive if the following documents are submitted:

Responsiveness criteria
1. Declaration of Undertaking (ITA 11.1 d) (II))
2. Financial Capability Statements and supporting documentation (ITA 11.1 d) (III))
3. Application Submission Form (ITA 11.1 a)
4. Power(s) of Attorney authorizing the representative of the Applicant (ITA 11.1 b)
5. If the Applicant is an association, either proof of the existing Association Agreement or a Declaration of Association (ITA 11.1 d) (I))

23. Domestic Bidder Price Preference

23.1 A margin of preference for domestic bidders shall not apply in the bidding process resulting from this prequalification unless otherwise specified in the **PDS**.

24. Subcontractors

24.1 Unless otherwise stated in the **PDS**, the Employer does not intend to execute any specific elements of the Works by subcontractors selected in advance by the Employer (nominated subcontractors).

24.2 A “specialized sub-contractor” is a sub-contractor hired for specialized work as defined by the Employer in Section III 4.2 - Experience. If no specialized work is specified by the Employer as such, sub-contractors experience shall not be considered for Applications evaluation.

F. Evaluation of Applications and Prequalification of Applicants

25. Evaluation of Applications

25.1 The Employer shall evaluate the responsive Applications using the factors, methods, criteria, and requirements defined in Section III, Qualification and Evaluation, to evaluate the qualifications of the Applicants, and no other methods, criteria, or requirements shall be used.

25.2 Only the qualifications of the Applicant shall be considered. In particular, the qualifications of a parent or other affiliated company that is not party to the Applicant under a JV in accordance with ITA 4.1 shall not be considered.

25.3 In case of multiple contracts, Applicants should indicate in their Applications the individual 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 and Evaluation are mentioned in Section III.

26. Employer's Right to Reject All Applications

26.1 The Employer reserves the right 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 The Employer shall assess the responsive Applications in terms of the Eligibility and Qualification Criteria and methods set out in Section III, Qualification and Evaluation.

27.2 The Employer shall determine the fulfillment of minimum requirements on a pass/fail basis as per Section III, Qualification and Evaluation.

27.3 The Employer shall assign a numeric score to each of the sub-criteria, for which a maximum score is provided in accordance with ITA 27.1. All Sub-criteria Scores shall be summed to determine the Applicant's Pre-Qualification Score.

27.4 For the purposes of scoring individual Qualification Criteria in accordance with 27.3 the Employer shall apply the following qualitative approach:

(a) 100% of the max. score: Excellent, if the Application substantially exceeds the requirement in accordance with the respective sub-criterion. No errors or omissions are noted.

(b) 75% of the max. score: Good, if the Application meets or marginally exceeds the requirement in accordance with the respective sub-criterion. Minor errors or omissions noted;

(c) 50% of the max. score: Unsatisfactory, if the Application marginally falls short of the requirement in accordance with the respective sub-criterion. Major errors or omissions noted;

(d) 25% of the max. score: Poor, if the Application substantially deviates from or indicates misunderstanding of the requirement in accordance with the respective sub-criterion. Major errors or omissions are noted comprising the fulfilment of the sub-criterion;

(e) 0 % of the max. score: Insufficient / Fail, if the Application does not meet the requirement at all in accordance with the respective sub-criterion, or does not provide any information regarding the requirement.

27.5 An Applicant shall be considered prequalified if:

(a) its Application is considered responsive in accordance with ITA 22.1 and;

(b) its Application has met the pass/fail requirements in accordance with ITA 27.2 and;

(c) the Application scored at least 70 points out of 100 points in accordance with ITA 27.3.

28. Notification of Prequalification

28.1 The Employer shall notify all Applicants in writing of the names of those Applicants who have been 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. Invitation 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.

29.2 Bidders may be required to provide a Bid Security acceptable to the Employer in the form and an amount to be specified in the Bidding Documents, and the successful Bidder shall be required to provide a Performance Security as specified in the Bidding Documents.

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 thereto) 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) as a consequence of the change, the Applicant no longer meets the qualification criteria set forth in Section III, Qualification and Evaluation; or (ii) 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 Invitation for Bids.

Section II. Prequalification Data Sheet

A. General	
ITA 1.1	The Employer is: **Beirut and Mount Lebanon Water Establishment (BMLWE)** **Attention: BMLWE Director General** **Address: 4th Floor, Badaro Sami El-Soleh Street** **Chedrawi Bldg.** **Beirut / Lebanon** **Electronic Mail Address: *Not applicable*** The list of contracts (lots) comprising the ICB is: ***Not applicable*** ICB name: Procurement of Design-Build Services for Rehabilitation and Construction Works at Dbayeh Water Treatment Plant
	Procurement of Design-Build Services for Rehabilitation and Construction Works at Dbayeh Water Treatment Plant ***ICB KFW Procurement No.: 512728.***
ITA 2.1	The name of the Project is: **Water / Wastewater Programme for Host Communities Phases 1 & 2**
ITA 4.2	Maximum number of members in the JV shall be: **three (3)**
B. Contents of the Prequalification Documents	

ITA 7.1	For **clarification purposes,** the Employer's address is: **Beirut and Mount Lebanon Water Establishment (BMLWE)** **Attention: BMLWE Director General** **Address: 4th Floor, Badaro Sami El-Soleh Street** **Chedrawi Bldg.** **Beirut / Lebanon** **Electronic Mail Address: eebmlprocurement@gmail.com** **All e-mails must be copied to:** **ghadarida.kfw@gmail.com** **joe.maroun@ebml.gov.lb** **joe.maroun@gmail.com** **m.daher63@gmail.com** **samiabinader@gmail.com** **conrad.schmidt@fichtner.de** **abed.gebara@rafikelkhoury.com**
ITA 7.1 & 8.2	Web page : ***GTAI (https://www.gtai.de)*** ***PPA (www.ppa.gov.lb)***
C. Preparation of Applications	
ITA 10.1	The Application as well as all correspondence shall be submitted in **English**. Language for translation of supporting documents and printed literature is **English**.
ITA 11.1 (d)	The Applicant shall submit with its Application, the following additional documents: **None**
ITA 15.2	In addition to the original, the number and type of copies to be submitted with the Application is: **One (01) hard copy and one (01) soft copy in pdf-format**
D. Submission of Applications	
ITA 17.1	The Original Application shall be submitted not later than

	Date: **As specified in the Invitation of Prequalification** Time: **12:00 hours, Beirut Standard Time** at the following address, which shall be the controlling address for the purposes of the timely submission of the Application: **Attention: BMLWE Director General** **Address: 4th Floor, Badaro Sami El-Soleh Street** **Chedrawi Bldg.** **Beirut / Lebanon**
ITA 19.1	The opening of the Applications shall be at the same place, date and time as the applications submission deadline.
E. Procedures for Evaluation of Applications	
ITA 23.1	A margin of preference **shall not** apply
ITA 24.1	At this time the Employer **does not intend** to execute certain specific parts of the Works by subcontractors selected in advance (nominated subcontractors).

Section III. Qualification and Evaluation

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.

Wherever an Applicant is required to state a monetary amount, Applicants should indicate the EUR equivalent using the rate of exchange determined as follows:

-For construction turnover or financial data required for each year - Exchange rate prevailing on the last day of the respective calendar year.

-Value of single contract - Exchange rate prevailing on the date of the contract.

Exchange rates shall be taken from the publicly available rate published by the Central Bank of the Employer's country. Any error in determining the exchange rates in the Application may be corrected by the Employer.

In chapter 5 of this section the environmental, social, health and safety (ESHS) requirements are defined in accordance with the specific ESHA challenges of the contract.

Criteria			Requirements / Max. Scores				Documentation Requirements / Forms
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			
				All Parties Combined	Each Member	One Member	
1. Eligibility							
1.1	**Nationality**	Nationality in accordance with ITA 4.3	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Forms ELI-1.1, 1.2(a) and 1.2(b), with attachments
1.2	**Conflict of Interest**	No conflicts of interest in accordance with ITA 4.4	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Application Submission Form
1.3	**KfW Eligibility**	Not being ineligible for KfW financing, as described in ITA 4.3	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Declaration of Undertaking
1.4	**Government-Owned Entity**	Meet conditions of ITA 4.3	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Forms ELI-1.1, 1.2(a) and 1.2(b), with attachments
2. Historical Contract Non-Performance							
2.1	**History of Non-Performing Contracts**	Termination of a contract did not occur as a result of contractor's default in the past five (5) years	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Form CON-2
2.2	**Suspension Based on Execution of Bid Securing Declaration by the Employer**	Not under suspension based on execution of a Bid Securing Declaration pursuant to ITA 4.5	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Application Submission Form
2.3	**Pending Litigation**	All pending litigation shall in total not represent more than one hundred percent (100%) of the Applicant's net worth and	Must meet requirement	N/A	Must meet requirement	N/A	Form CON-2

Criteria			Requirements / Max. Scores				Documentation Requirements / Forms
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			
				All Parties Combined	Each Member	One Member	
		shall be treated as resolved against the Applicant					
3. Financial Situation and Performance							
3.1	**Financial Capabilities: Liquidity**	(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 **EUR 2,500,000** for the subject contract(s) net of the Applicants other commitments	Must meet requirement	Must meet requirement	N/A	N/A	Form FIN–3.1 with attachments and FIN-3.3
3.2	**Financial Capabilities: Other Sources of Finance**	(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.	Must meet requirement	Must meet requirement	N/A	N/A	Forms FIN–3.1 and FIN-3.4
3.3	**Financial Capabilities: Financial Position**	(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 **five (05) years** shall be submitted and must demonstrate the current soundness	Must meet requirement	N/A	Must meet requirement	N/A	Form FIN–3.1 with attachments

Criteria			Requirements / Max. Scores				Documentation Requirements / Forms
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			
				All Parties Combined	Each Member	One Member	
		of the Applicant's financial position based on the following criteria: a) **Average** Liquidity ratio ≥ 1 $\frac{Current\ Assets}{Current\ Liabilities} \geq 1$ b) **Average** Indebtedness ratio ≤ 90% $\frac{Total\ Liabilities * 100}{Total\ Assets} \leq 90\%$					
3.4	**Average Annual Construction Turnover**	Average annual construction turnover of **EUR 20,000,000 (Twenty million Euro)**, for the last **five (05) years**, calculated as total certified annual payments received for contracts in progress and/or completed	Must meet requirement	Must meet requirement	Must meet **twenty five (25) %** of the requirement	Must meet **fifty (50) %** of the requirement	Form FIN–3.2
4. Construction Experience							
4.1	**General Construction Experience**	Experience under construction contracts in the role of prime contractor and/or JV member for at least the last **ten (10) years**, starting **1st January 2016**	Must meet requirement	N/A	Must meet requirement	N/A	Form EXP–4.1

Criteria			Requirements / Max. Scores				Documentation Requirements / Forms
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			
				All Parties Combined	Each Member	One Member	
4.2 (a)	**Specific Construction & Contract Management Experience**	A minimum number of Similar[2] contracts, satisfactorily and substantially[3] completed as a prime contractor and/or joint venture member[4] between **1st January 2016** and application submission deadline of two (2) water/wastewater treatment plants among which one (1) water treatment plant project of a minimum value EUR **15,000,000 (in words: fifteen million Euro)**	Must meet requirement	Must meet requirements	N/A	N/A	Form EXP-4.2 (a)
4.2 (b)	**Construction Experience in key activities**	For the above or any other contracts completed and under implementation as a prime contractor and/or joint venture member or after the first day of the calendar year during the period stipulated in 4.2(a) above, a minimum construction experience in the following key activities successfully completed[5]:	Must meet requirements	Must meet requirements	N/A	N/A	Form EXP–4.2 (b)

[2] The similarity shall be based on the physical size, complexity, methods/technology and/or other characteristics described in Section VII, Scope of Works. Summation of number of small value contracts (less than the value specified under requirement) to meet the overall requirement will not be accepted.
[3] Substantial completion shall be based on 80% or more works completed under the contract.
[4] For contracts under which the Applicant participated as a joint venture member or sub-contractor, only the Applicant's share, by value, shall be considered to meet this requirement.
[5] 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. The rate of production shall be the annual production rate for the key construction activity (or activities).

Criteria			Requirements / Max. Scores				Documentation Requirements / Forms
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			
				All Parties Combined	Each Member	One Member	
		1. Rehabilitation, including design & construction, of at least one (01) water treatment plant; includes equipment supply and installation of process lines (comprising fine screening, , and conventional treatment processes: flocculation, sedimentation, filtration, and pre/post chlorination including all related civil, electro-mechanical, instrumentation and control work) during ongoing operations without interrupting existing treatment process, with a plant capacity of ≥ 100,000 m³/d 2. Design & construction of a minimum one (01) water/wastewater treatment plant incl. equipment supply and installation of process lines (consisting fine screening, , conventional treatment process with flocculation, sedimentation, filtration pre/post chlorination including all related civil, electro-mechanical and instrumentation and control works) with a capacity of ≥ 10,000 m³/d 3. Design & Construction of water pumping station with a total capacity of 100,000m³/d including all related civil, electro-mechanical, instrumentation and control work)					

Criteria			Requirements / Max. Scores				Documentation Requirements / Forms
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			
				All Parties Combined	Each Member	One Member	
5. Environmental and Social and Health and Safety (ESHS) Experience and Capacity							
5.1	**Certificates**	Availability of a valid ISO certification as below or internationally recognized equivalent (equivalence to be demonstrated by the Applicant) - Quality Management certificate ISO 9001 - Environmental management certificate ISO 14001:2014 - Health and Safety certificate OHSAS 18001	Must meet requirement	N/A	Must meet requirement, if part in JV is substantial (more than 40 (forty) % of the works)	Must meet requirement	Form CER-5.1 Form CER-5.1 Form CER–5.1
5.2	**Experience in Projects with significant ESHS Impact**	For the above and any other contracts completed and under implementation as prime contractor, joint venture member, management contractor or subcontractor[6] on or after the first day of the calendar year during the period stipulated in 4.2(a) above, a minimum specific experience relating to the following ESHS requirements[6]:	Max. 30 points Selected References that best illustrate the ESHS experience and capacity with a focus on	Max. 30 points[7] Selected References that best illustrate the ESHS experience and capacity with a focus on	N/A	Must have executed at **least three (03)** contract(s) demonstrating experience with the key ESHS requirements as listed in the	Form EXP–5.2

[6] For contracts under which the Applicant participated as a joint venture member or sub-contractor, only the Applicant's share, by value, shall be considered to meet this requirement.
[7] Members will be scored if their part in the JV is substantial (more than 40 (forty) % of the works). Individual member scores will be averaged.

Criteria			Requirements / Max. Scores				Documentation Requirements / Forms
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			
				All Parties Combined	Each Member	One Member	
		1. Management of heavy construction machinery; **2. Management of working at height;** **3. Management of rehabilitation works during operation** The qualitative assessment of the Applicant's compliance will be carried out in terms of the scoring method described in ITA 27.4. The sub-criterion score will be calculated by adding the requirement scores.	the specific requirements listed in the column 'Requirement' Max 5 references / Max 6 points per reference	the specific requirements listed in the column 'Requirement' Max 5 references / Max 6 points per reference		Requirements column.	
5.3	**Environmental Capacity**	The Applicant must demonstrate that its business setup and operations meet the minimum requirements towards an effective environmental management system: The qualitative assessment of the Applicant's compliance will be carried out in terms of the scoring method described in ITA 27.4. The sub-criterion score will be calculated by adding the requirement scores.	Max. **20** points Up to 5 pts. for Environmental Policy, up to 5 pts. for Environmental Management System and up to 10 points for Environmental Management Certificate	Max. **20** points[7] Up to 5 pts. for Environmental Policy, up to 5 pts. for Environmental Management System and up to 10 points for Environmental Management Certificate ISO 14001:2014	N/A	N/A	Form ENV-5.3

Criteria			Requirements / Max. Scores				Documentation Requirements / Forms
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			
				All Parties Combined	Each Member	One Member	
			ISO 14001:2014				
5.4	**Occupational Health and Safety Capacity**	The Applicant must demonstrate that its business setup and operations meet the minimum requirements towards an effective health and safety management system For assessment and scoring see note in 5.3. above	Max. **20** points Up to 5 pts. for an OHS Policy, up to 5 pts. for Management System and up to 10 points for a Health & Safety Certificate OHSAS 18001	Max. **20** points[8] Up to 5 pts. for an OHS Policy, up to 5 pts. for Management System and up to 10 points for a Health & Safety Certificate OHSAS 18001	N/A	N/A	Form OHSAS-5.4
5.5	**Socially Responsible Work Implementation**	The Applicant must demonstrate a comprehensive understanding of the requirements regarding work site implementation and operation For assessment and scoring see note in 5.3. above	Max. **10** points Up to 2 pts. for a Recruitment Strategy, up to 3 pts. for a Public Health Strategy, and up to 5 pts. for	Max. **10** points[8] Up to 2 pts. for a Recruitment Strategy, up to 3 pts. for a Public Health Strategy, and up to 5 pts. for	N/A	N/A	Form LOC-5.5

[8] Members will be scored if their part in the JV is substantial (more than 40 (forty) % of the works). Individual member scores will be averaged.

Criteria			Requirements / Max. Scores				Documentation Requirements / Forms
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			
				All Parties Combined	Each Member	One Member	
			a ESHS Training Strategy	a ESHS Training Strategy			
5.6 a)	**ILO Core Labor Standards**	Undertaking to fully respect the ILO Core Labor Standards in the Applicant's business practice	Must meet requirement	N/A	Must meet requirement	N/A	Application Submission Form (f) and form COC-5.6
5.6 b)	**Ethical business principles**	The Applicant must demonstrate that its business setup and operations meet the minimum requirements towards ethical Business principles. For assessment and scoring see note in 5.3. above	Max. 10 points Up to 5 pts. for a declaration on Ethical Business Principles, and up to 5 pts. for Enforcement & Monitoring of Ethical Business Principles	Max. 10 points[8] Up to 5 pts. for a declaration on Ethical Business Principles, and up to 5 pts. for Enforcement & Monitoring of Ethical Business Principles	N/A	N/A	Form COC-5.6
5.7	**ESHS and Construction Personnel**	The Applicant must demonstrate that it has access to adequate candidates for the ESHS personnel profiles, listed in Section VII, Scope of Works. The candidates must fulfill the minimum specific profile requirements and the	Max. 10 points	Max. 10 points	N/A	N/A	PER-5.7

Criteria			Requirements / Max. Scores				Documentation Requirements / Forms
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			
				All Parties Combined	Each Member	One Member	
		general requirements (if any). Combining several candidates to fulfill one candidate profile is not allowed. Providing multiple candidates for a single profile is allowed. For assessment and scoring see note in 5.3. above					

Note: [For multiple contracts, specify financial and experience criteria for each contract]

Section IV. Application Forms

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Application Submission Sheet

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

ICB No.: *[insert ICB number]*

To: *[insert full name of Employer]*

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

(a) we have examined and have no reservations to the prequalification documents, including Addenda No., issued in accordance with ITA Clause 8: *[insert the number and issuing date of each addenda]*;

(b) we, including any subcontractors or suppliers for any part of the contract resulting from this prequalification process, have nationalities from eligible countries, in accordance with ITA Sub-Clause 4.3: *[insert the nationality of the Applicant, including that of all parties in case of a JV, and the nationality of each already identified subcontractor and supplier of related services, if applicable]*;

(c) we, including any subcontractors or suppliers for any part of the contract resulting from this prequalification do not have any conflict of interest, in accordance with ITA Sub-Clause 4.4;

(d) we, including any subcontractors or suppliers for any part of the contract resulting from this prequalification, have not been declared ineligible by KfW, and/or we are not subject to sanction from either Germany, the European Union or the United Nations in accordance with the lists of exclusion established by these institutions regarding fight against terrorism in accordance with ITA Sub-Clause 4.3;

(e) [we are not a government owned entity, **or**, we meet the requirements of ITA Sub-Clause 4.1];

(f) we, including any major subcontractors and suppliers declare that we fully respect ILO Core Labour Standards in our business practice in accordance with ITA Sub-Clause 4.3 and Form COC-5.6;

(g) we, in accordance with ITA Sub-Clause 24.1, 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 which the Applicant intends to subcontract];*

(h) 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, without incurring any liability to the Applicants, in accordance with ITA Clause 26.

Signed *[insert signature of the Applicant's representative, authorized in accordance with ITA 4.1, whose name and capacity are shown below]*

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

In the Capacity of *[insert legal 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]*

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

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

Attachments:

Power of attorney, authorizing the Applicant's representative to act for and on behalf of the Applicant, in accordance with ITA 4.1.

Declaration of Undertaking

Reference name of the Application/Offer/Contract: ("**Contract**")[9]

To: (**"Project Executing Agency"**)

1. We recognise and accept that KfW only finances projects of the Project Executing Agency ("PEA")[10] subject to its own conditions which are set out in the Funding Agreement it has entered into with the PEA. As a matter of consequence, no legal relationship exists between KfW and our company, our Joint Venture or our Subcontractors under the Contract. The PEA retains exclusive responsibility for the preparation and implementation of the Tender Process and the performance of the Contract.

2. We hereby certify that neither we nor any of our board members or legal representatives nor any other member of our Joint Venture including Subcontractors under the Contract are in any of the following situations:

   2.1) being bankrupt, wound up or ceasing our activities, having our activities administered by courts, having entered into receivership, reorganisation or being in any analogous situation;

   2.2) having been convicted by a final judgment or a final administrative decision or a preliminary investigation/charge is pending against us for involvement in a criminal organisation, money laundering, terrorist-related offences, child labour or trafficking in human beings, or have been subject to (financial) sanctions and/or embargo pro-visions by the United Nations, the European Union or the Federal Republic of Ger-many. This exclusion criterion is also applicable to legal persons whose shares (or the majority thereof) are owned or de facto controlled by natural or legal persons against whom such judgments, administrative decisions, (financial) sanctions and/or embargoes have been imposed and – in the case of (financial) sanctions and/or embargoes – these restrictive measures continue to apply;

   2.3) having been convicted by a final court decision or a final administrative decision by a court, the European Union, national authorities in the Partner Country or in Germany for Sanctionable Practice in connection with a Tender Process or the performance of a Contract or for an irregularity affecting the EU's financial interests *(in the event of such a conviction, the Applicant or Bidder shall attach to this Declaration of Undertaking supporting information showing that this conviction is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction)*;

   2.4) having been subject, within the past five years to a contract termination fully settled against us for significant or persistent failure to comply with our contractual obligations during such Contract performance, unless this termination was challenged and dispute resolution is still pending or has not confirmed a full settlement against us;

   2.5) not having fulfilled the applicable fiscal obligations with regard to the payment of taxes at the respective tax residence and in the country of origin of the PEA (*contractors based in Annex 1 countries (https://www.consilium.europa.eu/de/policies/eu-list-of-non-cooperative-jurisdictions/) must submit a fully completed and legally countersigned declaration of tax conformity (Appendix1 to the Declaration of Undertaking) in addition to the Declaration of Undertaking at the time of award of the contract/contract review. This shall become an integral part of the contract. Failure to submit may result in exclusion from the awarding procedure. For*

[9] Capitalised terms used, but not otherwise defined in this Declaration of Undertaking have the meaning given to such term in KfW's "*Guidelines for the Procurement of Consulting Services, Works, Goods, Plant and Non-Consulting Services in Financial Cooperation with Partner Countries"*.

[10] The PEA means the purchaser, the employer, the client, as the case may be, for the procurement of Consulting Services, Works, Plant, Goods or Non-Consulting Services.

contractors based in countries not listed as Annex I countries, only the Declaration of Undertaking must be submitted, and not the declaration of tax conformity;

2.6) being subject to an exclusion decision of the World Bank or any other multilateral development bank and being listed on the website http://www.worldbank.org/debarr or respectively on the relevant list of any other multilateral development bank *(in the event of such exclusion, the Applicant or Bidder shall attach to this Declaration of Undertaking supporting information showing that this exclusion is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction)*; or

2.7) being guilty of misrepresentation in supplying the information required as condition to participation in this Tender Procedure.

3. We hereby certify that neither we, nor any of the members of our Joint Venture or any of our Subcontractors under the Contract are in any of the following situations of conflict of interest:

   3.1) being an affiliate controlled by the PEA or a shareholder controlling the PEA, unless the stemming conflict of interest has been brought to the attention of KfW and resolved to its satisfaction;

   3.2) having a business or family relationship with a PEA's staff involved in the Tender Process or the supervision of the resulting Contract, unless the stemming conflict of interest has been brought to the attention of KfW and resolved to its satisfaction;

   3.3) being controlled by or controlling another Applicant or Bidder, or being under common control with another Applicant or Bidder, or receiving from or granting subsidies directly or indirectly to another Applicant or Bidder, having the same legal representative as another Applicant or Bidder, maintaining direct or indirect contacts with another Applicant or Bidder which allows us to have or give access to information contained in the respective Applications or Offers, influencing them or influencing decisions of the PEA;

   3.4) being engaged in a Consulting Services activity, which, by its nature, may be in conflict with the assignments that we would carry out for the PEA;

   3.5) in the case of procurement of Works, Plant or Goods:

      i. having prepared or having been associated with a Person who prepared specifications, drawings, calculations and other documentation to be used in the Tender Process of this Contract;

      ii. having been recruited (or being proposed to be recruited) ourselves or any of our affiliates, to carry out works supervision or inspection for this Contract;

4. If we are a state-owned entity, and compete in a Tender Process, we certify that we have legal and financial autonomy and that we operate under commercial laws and regulations.

5. We undertake to bring to the attention of the PEA, which will inform KfW, any change in situation with regard to points 2 to 4 here above.

6. In the context of the Tender Process and performance of the corresponding Contract:

   6.1) neither we nor any of the members of our Joint Venture nor any of our Subcon-tractors under the Contract have engaged or will engage in any Sanctionable Practice, or violate the Guidelines during the Tender Process and in the case of being awarded a Contract will engage in any Sanctionable Practice during the performance of the Contract;

   6.2) neither we nor any of the members of our Joint Venture or any of our Subcontractors under the Contract shall acquire or supply any equipment nor operate in any sectors under an embargo of the United Nations, the European Union or Germany; and

6.3) we commit ourselves to complying with and ensuring that our Subcontractors and major suppliers under the Contract comply with international environmental and labour standards, consistent with laws and regulations applicable in the country of implementation of the Contract and the fundamental conventions of the International Labour Organisation[11] (ILO) and international environmental treaties. Moreover, we shall implement environmental and social risks mitigation measures when specified in the relevant environmental and social management plans or other similar documents provided by the PEA and, in any case, implement measures to prevent sexual exploitation and abuse and gender based violence.

7. In the case of being awarded a Contract, we, as well as all members of our Joint Venture partners and Subcontractors under the Contract will, (i) upon request, provide information relating to the Tender Process and the performance of the Contract and (ii) permit the PEA and KfW or an auditor appointed by either of them, and in the case of financing by the European Union also to European institutions having competence under European Union law, to inspect the respective accounts, records and documents, to permit on the spot checks and to ensure access to sites and the respective project.

8. In the case of being awarded a Contract, we, as well as all our Joint Venture partners and Subcontractors under the Contract undertake to preserve above mentioned records and documents in accordance with applicable law, but in any case for at least six years from the date of fulfillment or termination of the Contract. Our financial transactions and financial statements shall be subject to auditing procedures in accordance with applicable law. Furthermore, we accept that our data (including personal data) generated in connection with the preparation and implementation of the Tender Process and the performance of the Contract are stored and processed according to the applicable law by the PEA and KfW.

Name: _____ In the capacity of: _____

Duly empowered to sign in the name and on behalf of[12]: _____

Signature: Dated:

[11] In case ILO conventions have not been fully ratified or implemented in the Employer's country the Applicant/Bidder/Contractor shall, to the satisfaction of the Employer and KfW, propose and implement appropriate measures in the spirit of the said ILO conventions with respect to a) workers grievances on working conditions and terms of employment, b) child labour, c) forced labour, d) worker's organisations and e) non-discrimination.

[12] In the case of a JV, insert the name of the JV. The person who will sign the application, bid or proposal on behalf of the Applicant/Bidder shall attach a power of attorney from the Applicant/Bidder.

Appendix 1

Declaration of tax conformity – binding confirmation for legal persons

Name of company

I hereby confirm with my signature that:

1. I am authorised to make this declaration on behalf of the above company;
2. the company properly pays all taxes in accordance with the tax laws of the country in which the company is domiciled;
3. the company is not currently nor has been in the past involved in any legal proceedings concerning the taxation of the company;
4. the company will duly pay taxes that may arise from the provision of contracted services;
5. all information and statements provided in advance are complete, accurate in terms of content and currently correct.

.....	.....	.....
(Place)	(Date)	(Name of the consultant)

.....
(Signature(s))

Appendix 1

Declaration of tax conformity – binding confirmation for natural persons

I hereby confirm with my signature that:

1. I make this declaration in my name/on my own account;
2. I duly pay taxes that I am obliged to pay under the tax law of my country of residence;
3. I am not currently involved in tax law court proceedings, nor have I been in the past;
4. I will duly pay taxes that may arise from the provision of contracted
5. services;
   I have filled in all the information and statements of this confirmation in full, accurately in terms of content and that they are up to date at this time.

.....	.....	.....
(Place)	(Date)	(Name of the person)

.....
(Signature)

Form ELI-1.1
Applicant Information Form

Date: _____
ICB No. and title: _____
Page _____of _____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 constitution: *[indicate year of Constitution]*
Applicant's legal address [in country of registration]: *[insert street/ number/ town or city/ country]*
Applicant's legal structure and ownership structure Legal structure: *[provide details]* Ownership structure: *[provide details of direct and indirect ownership]*
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. General Presentation of the Applicant (name, legal structure, business areas, subsidiaries and shareholdings, number of staff, etc.) 2. 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 4.1. ☐ In case of JV, JV agreement, in accordance with ITA 4.1 or Declaration of Association as per ELI 1.2(b). ☐ In case of Government-owned enterprise or institution, in accordance with ITA 4.3 documents establishing: - Legal and financial autonomy - Operation under commercial law - Establishing that the Applicant is not a dependent agency of the Employer. 3. Included are the organizational chart, a list of Board of Directors, and the beneficial ownership.

Form ELI-1.2 (a)
Applicant's JV Information Form

[The following table shall be filled by each member of a JV and, if applicable, by any specialized subcontractor]

Date: _____
ICB No. and title: _____
Page _____ of _____ pages

Each Applicant that is a JV Party and each nominated subcontractor in accordance with ITA 24 must submit this information.

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 legal structure and ownership structure: Legal structure: *[provide details]* Ownership structure: *[provide details of direct and indirect ownership]*
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. General Presentation of the Applicant (name, legal structure, business areas, subsidiaries and shareholdings, number of staff, etc.) 2. 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 4.1. ☐ In case of JV, JV agreement, in accordance with ITA 4.1 or Declaration of Association as per ELI 1.2(b). ☐ In case of Government-owned enterprise or institution, in accordance with ITA 4.3 documents establishing: - Legal and financial autonomy - Operation under commercial law - Establishing that the Applicant is not a dependent agency of the Employer. 3. Included are the organizational chart, a list of Board of Directors, and the beneficial ownership.

Form ELI-1.2 (b)
Declaration of Association

[The following form shall be provided by each member of a Joint Venture and, if applicable, by any specialized subcontractor, nominated in accordance with ITA 24]

Date: _____
ICB No. and title: _____
Page _____ of _____ pages

We hereby declare our intent to associate with the following firms for the purpose of forming a *[insert here "joint venture"]*:

[Insert the names of the other JV Members here]

[Insert the name of the Lead Member] shall be the Lead Member.

We hereby confirm that we have not associated with any other firms for the purposes of this assignment and that we will not submit an Application separately from the firms listed above. Further, we understand that if one of the above JV Members appears as a member in more than one Application, all Applications in which the Member appears shall be disqualified.

In the event that this JV is awarded a Contract, we shall perform the works in the composition and in the form of cooperation described above.

[Signature of the authorised representative of the Member]

Form CON-2
Historical Contract Non-Performance, 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 Name:*[insert full name]*
ICB No. and title: *[insert ICB number and title]*
Page *[insert page number]* of *[insert total number]* pages

Non-Performed Contracts in accordance with Section III, Qualification and Evaluation			
☐ Contract non-performance did not occur since 1st January *[insert current year number less 5]* specified in Section III, Qualification and Evaluation, Sub-Factor 2.1. ☐ Contract(s) not performed since 1st January *[insert current year number less 5]* specified in Section III, Qualification and Evaluation, requirement 2.1			
Year	**Non-performed portion of contract**	**Contract Identification**	**Total Contract Amount (current value, currency, exchange rate and EUR 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 non-performance: *[indicate main reason(s)]*	*[insert amount]*

Pending Litigation, in accordance with Section III, Qualification and Evaluation
☐ No pending litigation in accordance with Section III, Qualification and Evaluation, Sub-Factor 2.3.
☐ Pending litigation in accordance with Section III, Qualification and Evaluation, Sub-Factor 2.3 as indicated below.

Year of dispute	**Amount in dispute (currency)**	**Contract Identification**	**Total Contract Amount (currency), EUR 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]*

Form FIN-3.1
Financial Situation and Performance

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

Applicant's Name: *[insert full name]*
Date: *[insert day, month, year]*
Joint Venture Member Name:*[insert full name]*
ICB No. and title: *[insert ICB 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, EUR 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					

2. Financial documents

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

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

(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[13] for the *[number]* years required above; and complying with the requirements

[13] 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.

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]*
ICB No. and title: *[insert ICB number and title]*
Page *[insert page number]* of *[insert total number]* pages

Annual turnover data (construction only)			
Year	**Amount** **Currency**	**Exchange rate**	**EUR equivalent**
[indicate calendar year]	*[insert amount and indicate currency]*	*[insert exchange rates used to calculate the EUR equivalent]*	*[insert EUR equivalent]*
		Average Annual Construction Turnover *	

* Total EUR equivalent for all years divided by the total number of years. See Section III, Qualification and Evaluation, Clause 3.2.

Form FIN–3.3
Sources of Finance

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

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 specified in Section III, Qualification and Evaluation.

Financial Resources		
No.	**Source of financing**	**Amount (EUR equivalent)**
1		
2		
3		

Form FIN–3.4
Current Contract Commitments / Works in Progress

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

Applicants and each member to a JV 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.

Current Contract Commitments					
No.	**Name of Contract**	**Employer's Contact Address, Tel, Fax**	**Value of Outstanding Work [Current EUR Equivalent]**	**Estimated Completion Date**	**Average Monthly Invoicing Over Last Six Months [EUR / month)]**
1					
2					
3					
4					
5					

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]*
ICB No. and title: *[insert ICB 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 and Evaluation, 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 EUR equivalent]* Name of Employer: *[indicate full name]* Address: *[indicate street/number/city/country]*	*[insert "Prime Contractor" or "JV Member" or "Subcontractor" 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 EUR equivalent]* Name of Employer: *[indicate full name]* Address: *[indicate street/number/city/country]*	*[insert "Prime Contractor" or "JV Member" or "Subcontractor" 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 EUR equivalent]* Name of Employer: *[indicate full name]* Address: *[indicate street/number/city/country]*	*[insert "Prime Contractor" or "JV Member" or "Subcontractor" or "Management Contractor"]*

Form EXP-4.2 (a)
Specific Construction and Contract Management Experience

[The following table shall be filled in separately for contracts performed by the Applicant or 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]*
ICB No. and title: *[insert ICB 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, i.e., 15 June, 2016]*			
Completion date	*[insert day, month, year, i.e., 03 October, 2018]*			
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]*		EUR *[insert Exchange rate and total contract amount in EUR equivalent]*	
If member in a JV or subcontractor, specify participation in total Contract amount	*[insert a percentage amount]*	*[insert total contract amount in local currency]*	*[insert exchange rate and total contract amount in EUR equivalent]*	
Employer's Name:	*[insert full name]*			
Address:	*[indicate street / number / town or city / country]*			
Telephone/fax number	*[insert telephone/fax numbers, incl. country/city area codes]*			
E-mail:	*[insert e-mail address, if available]*			

Similar Contract No. *[insert number]* of *[insert number of similar contracts required]*	**Information**
Description of the similarity in accordance with Sub-Criterion 4.2 of Section III:	
1. Physical size of required works items	*[insert physical size of items]*
2. Complexity	*[insert description of complexity]*
3. Methods/Technology	*[insert specific aspects of the methods/technology involved in the contract]*
4. Construction rate for key activities	*[insert yearly rates and items]*
5. 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]*
Subcontractor's Name[14] (as per ITA 24.2): *[insert full name]*
ICB No. and title: *[insert ICB number and title]*

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

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

	Information			
Contract Identification	*[insert contract name and number, if applicable]*			
Award date	*[insert day, month, year, i.e., 15 June, 2016]*			
Completion date	*[insert day, month, year, i.e., 03 October, 2018]*			
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)]*		EUR *[insert exchange rate and total contract amount in EUR 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]*			

[14] If applicable

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

2. Key Activity No. Two

3. Key Activity No. Three

Optional: Form EQP–4.3
Specific Construction Equipment

[The following table is optional and depending on the nature of the project, it shall be filled in for contracts performed by the Applicant or each member of a Joint Venture, and if so nominated in accordance with ITA 2.4, nominated sub-contractor]

Applicant's Legal Name: *[insert full name]*
Date: *[insert day, month, year]*
International competitive bidding number ICB No.: *[insert]*

Description	**Information**
List of utilized specific construction equipment	*__[based on the specific construction experience in Forms 4.2 (a or b) the Applicant shall provide a list of specific construction equipment, utilized for the execution of the works. The list shall not specify commonly used equipment (ordinary cement mixers or cranes, etc.) but specific equipment related to the specific characteristics of the project as per the form below. For each item one form.]_*

Item number:	*__[insert consecutive number]_*
Denomination:	*__[insert technical name of the item]_*
Purpose:	*__[describe the use of the item in relation to the specific work requirements of the project]___*
Capacity / power rating / quantities, etc.	*__[give details of the capacity / power rating / quantities in relation to the work description]__*

[Note to the Employer as to the preparation of the Forms

Projects financed by KfW are categorized in categories A, B+, B or C depending on their adverse environmental and social impacts and risks. This categorization takes place at an early stage and applies to the overall Project. However, typically projects comprise several components and specific individual contracts are awarded to consultants, contractors, firms or suppliers. The categorization of these individual contracts may differ from the categorization of the overall project (e.g. a separate supply contract for computers, or a separate small works contract for the rehabilitation of a guard house etc. may be categorized as minor, whereas the overall project may be a large hydro power project categorized as A).

Therefore when designing the requirements for the Applicants or the ESHS Specifications for each particular contract of a project the potential environmental and social impacts and risks of this individual contract need to be taken into account, especially the occupational health and safety aspects (OHS) on the construction site and, if relevant, in worker camps during contract implementation.

Depending on the potential ESHS impact and the estimated contract size ESHS requirements for Applicants might be considered as basic, elevated or high and thus the requirements need to be adjusted accordingly. The ESHS levels shown hereafter make reference to the project classification for better orientation when attributing a level for this Application.

In the context of this section, the ESHS level has the following meaning:

Level ❶ basic = relevant to contracts with basic ESHS requirements
Typically for contracts in Projects with minor environmental and social construction related impacts and risks which do not require an Environmental and Social Impact Assessment (ESIA) and an Environmental and Social Monitoring Plan (ESMP) (Category "C"). During the implementation of the works only limited occupational health and safety measures are required, e. g minor works and small scale rehabilitation measures; few workers; low transport requirements; no worker camps required; no hazardous wastes; no working at heights or confined spaces; no heavy construction machinery; no external environmental risks like floodings, etc.

Level ❷ elevated = relevant to contracts with elevated ESHS requirements in addition to ❶
Typically for contracts in Projects with limited environmental and social impacts and risks which require a standard ESIA (Category "B"). During the implementation of the works standard occupational health and safety measures are required, e. g. less than 100 workers, less complex work site(s), transport of hazardous material, general OHS risks (welding, hazardous material) etc.

Level ❸ high = relevant to contracts with high ESHS requirements in addition to ❷
Typically for contracts in Projects with significant or long-term environmental and social impacts and risks which require a separate comprehensive ESIA and an ESMP (Category "B+ and A"). During the implementation of the works particular occupational health and safety measures are required, e.g. more than 100 workers, worker camp(s) required, significant risks at complex work sites(s), increased heavy load traffic, etc.

The Forms include the full set of ESHS requirements for contracts with level ❸ ESHS requirements. However, each individual requirement is marked according to the level on which this requirement applies. For contracts with lower requirements (level ❶ or level ❷) those

requirements which are not applicable should be deleted.]

Form CER–5.1
Certification

[insert Quality Management, Environmental Management Certification or Health and Safety Certification]

[In case of ESHS level ❸ it is mandatory for Applicants to be in the possession of all three valid certificates, in case of ESHS level ❷ a Quality Management Certificate might be requested. In case of ESHS level ❶ no certificates shall be required from Applicants. The following table shall be provided by the Applicant for each certificate. Insert NOT APPLICABLE for the certificates, which are not required]

Applicant's Legal Name: _____ Date: _____

Applicant's JV Member name: _____ ICB No.: _____

Description	**Information**
Identification of the certificate	_____ *[insert full name of the certificate]*
First award date	_____ *[insert day, month, year of first certificate award]*
Last update of the certificate	_____ *[insert day, month, year of latest renewal, if any]*
Issuers Name	_____ *[insert full name]*
Address	_____ *[insert street / number / town or city / country]*
Telephone/fax number	_____ *[insert phone/fax no., incl. country & city area codes]*
E-mail	_____ *[insert e-mail address, if available]*
Compliance with international standards	The certificate is *[select ISO 9001 / ISO 14001:2004 / OHSAS 18001]:* □ Yes / □ No
If no, proof of conformity with the international standard by the Applicant	*The Applicant shall demonstrate the equivalency of their management systems with the international standards.*

Form ESHS EXP-5.2
Experience in Projects with significant ESHS Impact

[The following table shall be filled by the Applicant or in case of a JV the Lead Member. Project references provided here should reflect the ESHS requirements as defined in Section III, 5. If the Applicant is required to demonstrate different ESHS aspects this should be shown separately in the sheet below or in a separate sheet.]

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

ESHS Contract No. *[insert number]* of *[insert number of S&E contracts required as per Section III, 5.]*	**Information**			
Contract Identification	*[insert contract name and number, if applicable]*			
Award date	*[insert day, month, year, i.e., 15 June, 2016]*			
Completion date	*[insert day, month, year, i.e., 03 October, 2018]*			
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]*		EUR *[insert Exchange rate and total contract amount in EUR equivalent]*	
If member in a JV or subcontractor, specify participation in total Contract amount	*[insert a percentage amount]*	*[insert total contract amount in local currency]*	*[insert exchange rate and total contract amount in EUR equivalent]*	
Employer's Name:	*[insert full name]*			
Address: Telephone/fax number E-mail:	*[indicate street / number / town or city / country]* *[insert telephone/fax numbers, incl. country/city area codes]* *[insert e-mail address, if available]*			

ESHS Contract No. *[insert number]* of *[insert number of ESHS contracts required as per Section III, 5.]*	**Information and Documentation**
1. ESHS Challenges	*[describe the ESHS challenges faced in project implementation, including indication of scales/size by reference, if applicable project E&S categorization as per development bank categorization]*
[insert brief description or, if applicable, short abstract of the documentation annexed, ***e.g. ESHS activity / inspection and/or final reports, Engineer's reports****]*	
2. ESHS measures implemented	*[description of measures implemented, incl. supporting documentation, if available]*
[insert brief description or, if applicable, short abstract of the documentation annexed, ***e.g. ESHS activity / inspection and/or final reports, Engineer's reports****]*	
3. ESHS knowhow transfer to local staff, local partners and subcontractors	*[description of know how transfer and capacity building measures implemented, incl. supporting documentation, if available]*
[insert brief description or, if applicable, short abstract of the documentation annexed, ***e.g. ESHS activity report presenting the training activities, training documents and materials with attendance sheets****]*	

Maximum points attributed to above requirements: **as per Section III**

Form ENV–5.3
Environmental Management Capacity

[The following table shall be filled by the Applicant or each member of a Joint Venture, whose part in the JV is substantial (more than 40 (forty) % of the works)]

Applicant's Legal Name: *[insert full name]*
Date: *[insert day, month, year]*
ICB No.: *[insert International competitive bidding number]*

	The Applicant shall demonstrate:	**Information and Documentation**	**ESHS level**
1	- the existence of an Environmental Policy *[only in case of ESHS level ❶ insert:* and its application and enforcement in project implementation by a) own workforce and b) subcontractors.]	*__[Provide relevant details of the Corporate Values or similar policy documents and declarations]__*	❶ ❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
2	- the existence of an Environmental Management System, incl. an adequate organizational set-up for definition, enforcement and monitoring.	*__[Provide details of the organizational set-up and procedures for relevant issues within your company, for qualification details of relevant key staff see Form PER-5.7]__*	❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
3	- that all members of a JV, suppliers, subcontractors and temporary workforce a) are aware of and b) comply with the Environmental Management System.	*__[Provide information on a) how awareness, know how transfer and enforcement is implemented to external partners* *b) nature, content and frequency of internal trainings to employees.]__*	❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			

4	- that regular monitoring and reviews of the status of the Environmental Management System takes place.	*__[Provide details or samples of risk assessments, reviews, audits or reports which are carried out on a regular basis for the last three years]__*	❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
5	- that procedures exist to respond to and mitigate environmental emergencies and other adverse impacts on work sites.	*__ [Provide supporting evidence like emergency manuals (index only), emergency procedures, etc.]__*	❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			

Maximum points attributed to above requirements: **as per Section III**

Form OHSAS–5.4
Occupational Health and Safety Capacity

[The following table shall be filled by the Applicant or each member of a Joint Venture, whose part in the JV is substantial (more than 40 (forty) % of the works)]

Applicant's Legal Name: *[insert full name]*
Date: *[insert day, month, year]*
ICB No.: *[International competitive bidding number]*

	The Applicant shall demonstrate:	**Information**	**ESHS level**
1	- the existence of an Occupational Health & Safety Policy	*__[Provide a policy document and the index of the Occupational Health & Safety manual or other relevant documents and declarations]__*	❶ ❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
2	- the existence of management system, incl. an adequate organizational set-up for definition, enforcement and monitoring.	*__[Provide details of the organizational set-up and procedures for health and safety issues within your company, for qualification details of relevant key staff see Form PER-5.7]__*	❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
3	- that regular reviews, audits and statistics of Health & Safety events and procedures especially on work sites exist.	*__[Please provide details or samples of risk assessments, reviews, audits or statistical reports which are carried out on a regular basis for the last three years]__*	❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
4	- that all members of a JV, suppliers (in particular those for major supply items), sub-contractors and temporary workforce a) are aware of and	*__[Provide information on a) how awareness, know how transfer and enforcement is implemented to external partners b) nature, content and frequency of internal trainings to employees.]__*	❸

	b) comply with the Health & Safety Policy.		
[insert brief description or, if applicable, short abstract of the documentation annexed]			
	-		

Maximum points attributed to above requirements: **as per Section III**

Form LOC–5.5
Socially Responsible Works Implementation

[The following table shall be filled by the Applicant or each member of a Joint Venture, whose part in the JV is substantial (more than 40 (forty) % of the works)]

Applicant's Legal Name: *[insert full name]*
Date: *[insert day, month, year]*
ICB No.: *[insert International competitive bidding number]*

	The Applicant shall demonstrate:	**Documentation**	**ESHS level**
1	- a strategy for staff and labor incl. recruitment of temporary workforce and local labor, worker grievance mechanism, etc.	*[Provide information and relevant documents, if any]*	❶ ❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
2	a comprehensive strategy for ensuring public health and safety, including programs and procedures to combat the spread of communicable diseases (incl. HIV/AIDS).	*[Please provide supporting evidence*	❶ ❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
3	- a comprehensive strategy for staff accommodation, e.g. worksite camps, house rental, security, etc.	*[Provide information and relevant documents, if any]*	❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
4	- a comprehensive training strategy for transfer of ESHS knowhow to temporary workforce and subcontractors	*[Provide information and relevant documents, if any]*	❷ ❸

[insert brief description or, if applicable, short abstract of the documentation annexed]			
5	- a strategy for communication and interaction with stake-holders and local communities incl. grievance mechanism, incl. avoidance of damage to property and people	__ *[Provide a concept how this relationship has been managed in former contracts.]*__	❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			

Maximum points attributed to above requirements: **as per Section III**

Form COC–5.6
Ethical Business Principles

[The following table shall be filled by the Applicant or each member of a Joint Venture, whose part in the JV is substantial (more than 40 (forty) % of the works)]

Applicant's Legal Name: *[insert full name]*
Date: *[insert day, month, year]*
ICB No.: *[insert International competitive bidding number]*

	The Applicant shall demonstrate:	**Documentation**	**ESHS level**
1	- that ILO core labor standards[15] are fully respected in business operations by explicitly ticking the boxes.	Our business operations respect the core labor standards on: ☐ Freedom of Association ☐ Elimination of Forced Labour ☐ Non-Discrimination ☐ Abolishment of Child Labour	Pass/ fail ❶ ❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
2	- the existence of a declaration on ethical business principles or similar declaration.	*__[Provide written information and evidence on business principles (code of conduct, conflict of interest, bribery, corruption, bid-rigging, unfair competition, insider rules, confidentiality, money-laundering, etc.)]__*	❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
3	- the existence of an adequate organizational set-up to define, enforce and monitor the ethical business principles.	*__[Provide details of the organizational set-up and staffing of the relevant department, for qualification details of relevant key staff see Form PER-5.7]__*	❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			

[15] See relevant ILO conventions C087, C098, C029, C105, C100, C111, C138, C182. In case ILO conventions have not been fully ratified or implemented in the Employer's country the Applicant / Bidder / Contractor shall, to the satisfaction of the Employer and KfW, propose and implement appropriate measures in the spirit of the said ILO conventions.

4	- that all members of a JV, suppliers (in particular those for major supply items), subcontractors and temporary workforce a) are aware of and b) comply with these principles.	*__[Provide information on a) how awareness, know how transfer and enforcement is implemented to external partners* *b) nature, content and frequency of internal trainings to employees.]__*	❷ ❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			
5	- that a confidential and anonymous mechanism for employees and third parties to report violations of the ethical business principles exists.	*__[Describe the mechanism and the offered reporting channels (ombudsmen, whistleblower scheme, website, etc.)]__*	❸
[insert brief description or, if applicable, short abstract of the documentation annexed]			

Maximum points attributed to above requirements 2 to 5, requirement 1 is pass / fail: **as per Section III**

[Total points shall be distributed to the individual requirements. In case of ❶ and ❷ the total points shall be distributed to the reduced number of requirements.]

Form PER–5.7 List of Available ESHS and Construction Personnel

Complete the list below to demonstrate the extent to which you have access (internally / externally) to ESHS and Construction expertise required for personnel profiles described in Section VII; Scope of Works. Do not attach CVs as no personnel evaluation is carried out at the prequalification stage. It is understood that prequalified Applicants are not required to include staff named below into the proposal.

Name	Designation, in accordance with Section VII, Scope of Works		Education/ Degree	Years of Professional Experience	Relationship with / Years within the Applicant[16]	Country/Regional Experience	Relevant Project References (Description of project-related experience)	Languages

Maximum points attributed to above requirements: **as per Section III**

[16] For freelance experts (e.g. with retainer contracts or formal agreements) indicate “FE” and how long the expert has been associated with the Applicant. For sub-consultant staff indicate “Sub”. Staff from affiliated firms of the Applicant shall be considered as sub-consultant staff.

Section V. Eligibility Criteria

Eligibility in KfW-Financed Procurement

1. Consulting Services, Works, Goods, Plant and Non-Consulting Services are eligible for KfW financing regardless of the country of origin of the Contractors (including Subcontractors and suppliers for the execution of the Contract), except where an international embargo or sanction by the United Nations, the European Union or the German Government applies.

2. Applicants/Bidders (including all members of a Joint Venture and proposed or engaged Subcontractors) shall not be awarded a KfW-financed Contract if, on the date of submission of their Application/Offer or on the intended date of Award of a Contract, they:

   2.1 are bankrupt or being wound up or ceasing their activities, are having their activities administered by courts, have entered into receivership, or are in any analogous situation;

   2.2 have been

   (a) convicted by a final judgement or a final administrative decision or subject to financial sanctions by the United Nations, the European Union and/or the German Government for involvement in a criminal organisation, money laundering, terrorist-related offences, child labour or trafficking in human beings; this criterion of exclusion is also applicable to legal Persons, whose majority of shares are held or factually controlled by natural or legal Persons which themselves are subject to such convictions or sanctions;

   (b) convicted by a final court decision or a final administrative decision by a court, the European Union or national authorities in the Partner Country or in Germany for Sanctionable Practice during any Tender Process or the performance of a Contract or for an irregularity affecting the EU's financial interests, unless they provide supporting information together with their Declaration of Undertaking (Form available as Appendix to the Application/Offer which shows that this conviction is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction;

   2.3 have been subject within the past five years to a Contract termination fully settled against them for significant or persistent failure to comply with their contractual obligations during Contract performance, unless this termination was challenged and the dispute resolution is still pending or has not confirmed a full settlement against them;

2.4 have not fulfilled applicable fiscal obligations regarding payments of taxes either in the country where they are constituted or the PEA's country;

2.5 are subject to an exclusion decision of the World Bank or any other multilateral development bank and are listed in the respective table with debarred and cross-debarred firms and individual available on the World Bank's website or any other multilateral development bank unless they provide supporting information together with their Declaration of Undertaking which shows that this exclusion is not relevant in the context of this Contract or

2.6 have given misrepresentation in documentation requested by the PEA as part of the Tender Process of the relevant Contract.

3. State-owned entities may compete only if they can establish that they (i) are legally and financially autonomous, and (ii) operate under commercial law. To be eligible, a state-owned entity shall establish to KfW's satisfaction, through all relevant documents, including its charter and other information KfW may request, that it: (i) is a legal entity separate from their state (ii) does not currently receive substantial subsidies or budget support; (iii) operates like any commercial enterprise, and, inter alia, is not obliged to pass on its surplus to their state, can acquire rights and liabilities, borrow funds and be liable for repayment of its debts, and can be declared bankrupt.

Section VI. KfW Policy – Sanctionable Practice – Social and Environmental Responsibility

1) Sanctionable Practice

The PEA and the Contractors (including all members of a Joint Venture and proposed or engaged Subcontractors) must observe the highest standard of ethics during the Tender Process and performance of the Contract.

By signing the Declaration of Undertaking the Contractors declare that (i) they did not and will not engage in any Sanctionable Practice likely to influence the Tender Process and the corresponding Award of Contract to the PEA's detriment, and that (ii) in case of being awarded a Contract they will not engage in any Sanctionable Practice.

Moreover, KfW requires to include in the Contracts a provision pursuant to which Contractors must permit KfW and in case of financing by the European Union also to European institutions having competence under European law to inspect the respective accounts, records and documents relating to the Tender Process and the performance of the Contract, and to have them audited by auditors appointed by KfW.

KfW reserves the right to take any action it deems appropriate to check that these ethics rules are observed and reserves, in particular, the rights to:

(a) reject an Offer for Award of Contract if during the Tender Process the Bidder who is recommended for the Award of Contract has engaged in Sanctionable Practice, directly or by means of an agent in view of being awarded the Contract;

(b) declare misprocurement and exercise its rights on the ground of the Funding Agreement with the PEA relating to suspension of disbursements, early repayment and termination if, at any time, the PEA, Contractors or their legal representatives or Subcontractors have engaged in Sanctionable Practice during the Tender Process or performance of the Contract without the PEA having taken appropriate action in due time satisfactory to KfW to remedy the situation, including by failing to inform KfW at the time they knew of such practices.

KfW defines, for the purposes of this provision, the terms set forth below as follows:

Coercive Practice	The impairing or harming, or threatening to impair or harm, directly or indirectly, any person or the property of the person with a view to influencing improperly the actions of a person.
Collusive Practice	An arrangement between two or more persons designed to achieve an improper purpose, including influencing improperly the actions of another person.

Corrupt Practice	The promising, offering, giving, making, insisting on, receiving, accepting or soliciting, directly or indirectly, of any illegal payment or undue advantage of any nature, to or by any person, with the intention of influencing the actions of any person or causing any person to refrain from any action.
Fraudulent Practice	Any action or omission, including misrepresentation that knowingly or recklessly misleads, or attempts to mislead, a person to obtain a financial benefit or to avoid an obligation.
Obstructive Practice	Means (i) deliberately destroying, falsifying, altering or concealing evidence material to the investigation or the making of false statements to investigators, in order to materially impede an official investigation into allegations of a Corrupt Practice, Fraudulent Practice, Coercive Practice or Collusive Practice, or threatening, harassing or intimidating any Person to prevent them from disclosing their knowledge of matters relevant to the investigation or from pursuing the investigation, or (ii) any act intended to materially impede the exercise of KfW's access to contractually required information in connection with an official investigation into allegations of a Corrupt Practice, Fraudulent Practice, Coercive Practice or Collusive Practice.
Sanctionable Practice	Any Coercive Practice, Collusive Practice, Corrupt Practice, Fraudulent Practice or Obstructive Practice (as such terms are defined herein) which is unlawful under the Financing Agreement.

2) Social and Environmental Responsibility

Projects financed in whole or partly in the framework of Financial Cooperation have to ensure compliance with international Environmental, Social, Health and Safety (ESHS) standards (including issues of sexual exploitation and abuse and gender based violence) Contractors in KfW-financed projects shall consequently undertake in the respective Contracts to:

(a) comply with and ensure that all their Subcontractors and major suppliers, i.e. for major supply items comply with international environmental and labour standards, consistent with applicable law and regulations in the country of implementation of the respective Contract and the fundamental conventions of the International Labour Organisation[17] (ILO) and international environmental treaties and;

[17]In case ILO conventions have not been fully ratified or implemented in the Employer's country the Applicant/Bidder/Contractor shall, to the satisfaction of the Employer and KfW, propose and implement appropriate measures in the spirit of the said ILO conventions with respect to a) workers grievances on working conditions and terms of employment, b) child labour, c) forced labour, d) worker's organisations and e) non-discrimination.

(b) implement any environmental and social risks mitigation measures, as identified in the environmental and social impact assessment (ESIA) and further detailed in the environmental and social management plan (ESMP) as far as these measures are relevant to the Contract and implement measures for the prevention of sexual exploitation and abuse and gender-based violence.

PART 2 – Works Requirements

Section VII. Scope of Works

1. Description of the Works

As part of the German-Lebanese Partnership, this project plays a vital role in strengthening the sustainability, resilience and efficiency of the Lebanese water sector. Beyond the technical implementation of the works, Lebanon shall be able to operate, maintain and potentially extend the envisaged investments using its own resources once the handover is complete. At the tender stage, bids that convincingly address these needs and the interests of the German/EU and Lebanese industries will be preferred.

The WTP Dbayeh serves Beirut city and lower parts of northern Mount Lebanon. Dbayeh WTP and PS (est. in 1896; ~15 m a.s.l.) is a water treatment plant with a conventional treatment process consisting of flocculation, sedimentation, and filtration process. The Plant features two treatment lines in parallel. The "old line" from approx. the 1950s and "new line" from the 1990's, see Figure below. The land area of the plant is approx. 30,000 m^2. According to the operator, the actual total capacity of the plant is approx. 250,000 m3/d (winter) and approx. 110,000 m^3/d (summer), with a total energy consumption of approx. 5,000 kW/h (winter) and 1,800 kW/h (summer).

The objective of the project is to rehabilitate the WTP Dbayeh as well as achieving a new treatment capacity of 300.000 m^3/day. The rehabilitation will cover a range of process improvements across both old and new line.

To ensure a constant supply of treated water, it is imperative that the rehabilitation work be carried out while the facility remains operational. The Contractor is committed to maintaining the existing water treatment capacity throughout the construction phase. Should adjustments be required, the Contractor will consult with the client to address any capacity concerns and ensure continuous service and compliance throughout the rehabilitation process.

As part of the rehabilitation, the process of components (partially outdated) will be replaced with modern, robust alternatives or partially replaced with equivalent components of equal or superior specification). The existing new treated water pumping station (Building E) will be rehabilitated it with new pumps, fitting and accessories and new surge protection measures along with a tunnel outside pumping which will include but not limited to flow meters, flow control valves, air release valves, etc..... . The WTP will be equipped with measurement and control instruments to monitor its performance and water quality. The electrical works will be adapted and upgraded by including

new generators, transformers, and cables according to local conditions. Additionally, the civil structure will be inspected and refurbished. Also, architectural and landscaping works are required. The goal of rehabilitation is to create a state-of-the-art, robust water treatment plant that ensures the required water quality and capacity. Furthermore, a new sludge management and disposal will be implemented

The scope includes the Design-Build services for the rehabilitation, upgrading and Construction works of the existing process units, as detailed below. Procees Units:

- Pre-Chlorination
- Accelerator
- Flocculator/Clarifier
- Chemical Station
- Sand Filter
- Post Chlorination
- Sludge Management & Disposal
- Instrumentation, SCADA & Monitoring/Automatization

New treated water pumping station (Building E):

1) General:
   - Pumps, whether new or refurbished, are to be selected based on capacity, energy efficiency, and their suitability for the plant's operational requirements. The contractor will verify the final selection through detailed hydraulic and surge analysis.
   - Advanced control systems will be installed to track pump performance and optimize their operation within the overall water treatment process. These systems will be fully integrated into the plant's SCADA and automation systems, facilitating real-time monitoring, control, and remote operation.

2) High flow transfer pumps (Bouj Abou haidar, Ashrafiyeh, Bourj Hammound and coastal Meten lines):
   - Replacement/Repair of 13 outdated or inefficient pumps with modern, energy-efficient models to enhance operational reliability, optimize operation and reduce energy consumption including all related civil, electro-mechanical, instrumentation and control.

3) Transfer Pumps (Champville, Seven up and Zouk lines):

- Replacement of 6 booster pumps with new models to meet operational demands and efficiency standards including all related civil, electro-mechanical, instrumentation and control.
- Replacement of all piping, fittings, and accessories including all related civil, electro-mechanical, instrumentation and control.

4) Works Outside pumping station (Tunnel):
   - Construction of a new tunnel chamber outside Building E, incorporating flow meters, flow control valves, air release valves, motorized butterfly valves, and associated accessories including all related civil, electro-mechanical, instrumentation and control.

Upgrading electrical works (Building F)

- Supply and installation of transformers rated at 15MVA and 2.5MVA, alongside related switchgears, cablings, and accessories.
- Supply, installation, and commissioning of power generators providing standby capacity equal to 80%–100% of the total plant electrical demand. .
- Supply and installation of step-up transformers (380V/5500V).
  Installation includes all related indoor/outdoor conduits, cabling, cable trays, bus ducts, and accessories.

Civil Rehabilitation/new rehabilitation works for the Dbayeh Water Treatment Plant:
New Civil structure

- New chemical building and New sludge treatment and handling facility to be constructed.
-

Comprehensive civil rehabilitation across multiple facilities, including:

- Process units: Old line decanters (3 nos), new line decanter, sedimentation basins, new line sand filters, chlorination room (Building G), chemical room building, old line chlorination room.
- Infrastructure: Treated water pumping station (Building E), electrical room (Building F), administration building (Building A) and site external works.
  These works include structural rehabilitation, internal finishes, doors and openings, external façade and building envelope, ventilation, sanitary, lighting and electrical provisions, roof and waterproofing,and site drainage, among others.

2. Construction Period(s)

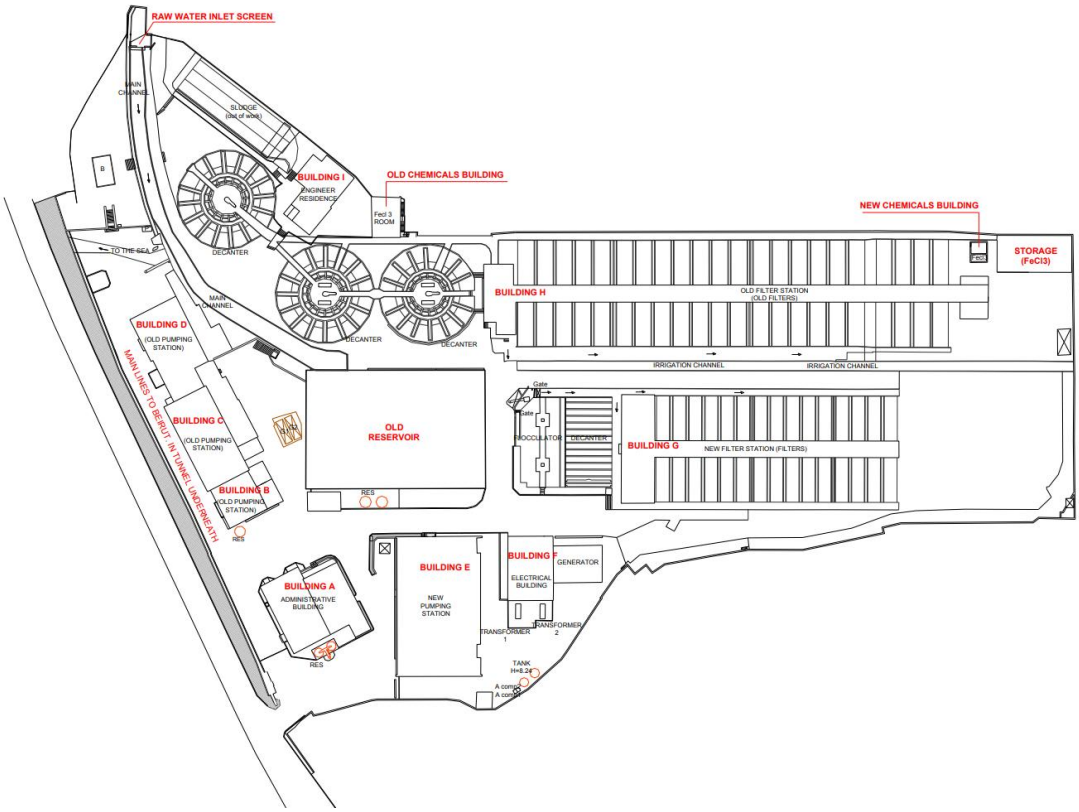
The Time for Completion shall be 24 months followed by 12 months Defects Notification Period.

3. Site and other Data

The project site is located in Dbayeh, a town within the Metn District, part of the Mount Lebanon Governorate. This area is situated to the northeast of Beirut and is part of the Greater Beirut metropolitan region.

Dbayeh is well-connected through major transportation routes, including the coastal highway which facilitates direct access to Beirut and other central hubs in Lebanon. Public transportation options and road networks are robust, ensuring smooth logistical operations for the movement of materials and personnel.

The Mediterranean climate of Dbayeh features mild, wet winters and hot, dry summers. Any construction activities should take potential weather impacts into account.



4. Environmental and Social Management plan (ESMP)

An Environmental and Social Impact Assessment (ESIA) according to Lebanese EQA and KFW's requirements had been prepared, resulting in a detailed Environmental and Social Management plan (ESMP), clearly assigning tasks to involved parties (works contractor, Employer, Engineer).

The ESMP will form an integral part of the works contract; the works contractor will be tasked with its implementation in close coordination with the WTP operator, the Employer and monitored by the Engineer. Work at water facilities is often physically demanding and may involve hazards such as open water, trenches, and slippery walkways, working at heights, energized circuits, and heavy equipment.

The management of ESHS risks of the Project will follow a "cascade" approach:

1. The guiding plans and policies are outlined in the ESIA;
2. The Contractor must develop their own Environmental and Social Management Plan (ESMP) which must be approved by the Employer;
3. The Contractor must implement and enforce the ESMP measures in their own activities and those of any of their subcontractors and other service providers;
4. The Contractor is responsible for regularly monitoring the implementation of the ESMP and reporting to the Employer;
5. The Employer conducts its own overall monitoring of the Contractor's performance.